

DEFENSE INVESTIGATIVE SERVICE
NATIONAL AGENCY CHECK

FBI CENTRAL RECORDS SYSTEM
RESPONSE TO AN AUTOMATED INDICES RECORD CHECK
(DOES NOT INCLUDE A FINGERPRINT CHECK)

SPECIAL ACTION REQUEST

SEQUENCE NO: 693904

ORI NO: USDIS000Z

DATE: 8/10/88

CIDN: 0881808008

NAME: HOLBROOKE, RICHARD CHARLES

AKA:

DOB: 04/24/41

POB: NY

SOC: 132-32-3096

SEX: M

RACE: W

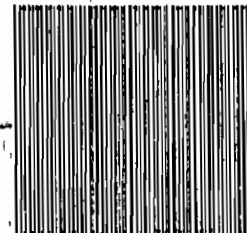
ADDR:

EMPL:

MISC:

In response to your request
there are attached
reports which may relate
to the subject of your inquiry.

This reply is a result of a
check of FBI Headquarters
investigative files only. To
check arrest records, request
must be submitted to FBI
Identification Division.
Fingerprints are necessary
for a positive check.



881808008

TL114 407 DATE: 8-11

NS#..... TO FR:.....

NR#..... DATE: 3/18 AUG 10 1988

NR#..... TO EAU#.....

EAU#..... DATE: AUG 24 1988

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SEARCHED
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AUG 12 1988

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A SEARCH OF THE AUTOMATED CENTRAL INDICES OF FBI HEADQUARTERS BASED UPON DATA SUBMITTED AND LIMITED PURSUANT TO ESTABLISHED
POLICY LOCATED NO IDENTIFIABLE INFORMATION PERTINENT TO YOUR INQUIRY. THIS SHOULD NOT BE CONSIDERED AS A CLEARANCE BY THE FBI.

JUL 14 1994
BY COURIER

[Redacted]
Special Counsel to the President
The White House
Washington, D.C.

Dear [Redacted]

Based on a request received from your office dated June 30, 1994, a Level II background investigation has been conducted concerning Mr. Richard Charles Albert Holbrooke. Enclosed is a summary memorandum containing the results of this investigation, along with copies of three interview providing details of information contained in this summary memorandum.

Several background investigations have been conducted concerning Mr. Holbrooke by the FBI, the Defense Investigative Service, and the Department of State (DOS), the most recent having been by DOS in 1993. The results of those investigations are incorporated in the enclosed summary memorandum.

This completes our investigation.

Sincerely yours,

MJG/pak
Manuel J. Gonzalez
Assistant Director
Personnel Division

Enclosures (4)

DET:at (3)

CLOSED

NOTE: This case was opened on 7/1/94. Mr. Holbrooke is currently employed by the Department of State, Washington, D.C., as U.S. Ambassador to Germany. He is being investigated for an unspecified Presidential appointment which requires Senate confirmation (per several newspaper articles, he will be Assistant Secretary of State for European and Canadian affairs.)

NOTE CONTINUED NEXT PAGE

RETURN TO [Redacted]

ROOM 4371

Exec AD Adm. _____
Exec AD Inv. _____
Exec AD LES _____
Asst. Dir.: _____
Adm. Servs. _____
Crim. Inv. _____
Ident. _____
Insp. _____
Intell. _____
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Legal Coun. _____
Off. Cong. & _____
Public Affs. _____
Rec. Mgnt. _____
Tech. Servs. _____
Training _____
Off. Liaison & _____
Int. Affs. _____
Telephone Rm. _____
Director's Sec'y _____

MAIL ROOM

ADD. DISSEMINATION

[redacted]

Investigation revealed two former neighbors who made unfavorable comments about appointee's personality; one of them also mentioned two delinquent payments of residence fees to their building. One would not recommend appointee and the other did not know him well enough to comment concerning a recommendation.

Credit bureau records disclosed a tax lien in California and a judgment in New York City. Prior investigation by OPM determined the California tax lien has been paid. Records of appointee's accounting firm indicate the New York City judgment also has been paid; however, New York City's records indicate that while the basic amount of the judgment has been paid, an interest charge is still outstanding. Court records indicate the judgment has not been satisfied.

Investigation is complete.

Copies of the following interviews were provided to the White House:

Richard Charles Albert Holbrooke conducted by Legat Bonn on 7/13/94,

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[redacted] conducted by New York on 7/13/94,
[redacted] conducted by New York on 7/6/94.

The individual in the Interviews section who requested complete confidentiality is [redacted]

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[redacted] His interview is not being disseminated to the White House as it is not truly derogatory and also because it was received in [redacted]

[redacted] However, it was written up because he commented that appointee's bookkeeping is a tad sloppy, which corroborates information developed elsewhere during this investigation and during a prior DOS background investigation involving some delinquent financial matters experienced by appointee.

Naturalization information concerning appointee's mother was provided by [redacted] Senior Immigration Examiner, INS.

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The following footnote corresponds to information located in the Agency Checks section of the summary:

* 161-4612

JUL 14 1994

RICHARD CHARLES ALBERT HOLBROOKE

This summary memorandum contains the results of a Level II background investigation concerning Mr. Holbrooke, which addressed the past fifteen years of his life. Inquiries were conducted in the United States and Germany as to Mr. Holbrooke's character, loyalty, and general standing, but no inquiries were made as to the sources of his income.

Birth

Previous investigation determined Mr. Holbrooke was born on May 24, 1941, in New York, New York.

Education

Mr. Holbrooke received an A.B. degree in history from Brown University, Providence, Rhode Island, in June, 1962.

Military Service

Mr. Holbrooke indicated no prior military service.

Employment

July, 1979, to
January, 1981, and
September, 1993, to
the present

Continued to be employed by the Department of State (DOS), Washington, D.C., formerly as an Assistant Secretary and currently as United States Ambassador to Germany

March, 1981, to
April, 1985 (exact
dates not recorded)

Public Strategies, Washington, D.C., as Vice President. This company was purchased by Lehman Brothers.

April, 1985, to
September, 1993

Lehman Brothers, New York, New York, as a Managing Director

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Exec AD Adm. _____
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Public Affs. _____
Rec. Mgnt. _____
Tech. Servs. _____
Training _____
Off. Liaison &
Int. Affs. _____
Telephone Rm. _____
Director's Sec'y _____

RETURN TO



ROOM 4371

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MAIL ROOM ☐

Richard Charles Albert Holbrooke

March, 1993, to
September, 1993

Department of Defense,
Washington, D.C., as an
unsalaried consultant

Family Status

Mr. Holbrooke is divorced and resides at the American Ambassador's residence, Bonn, Germany.

Records of the Domestic Relations Branch, District of Columbia Superior Court, Washington, D.C., disclosed that [redacted] from Mr. Holbrooke on [redacted]

Records of the same court disclosed that Mr. Holbrooke filed for divorce from [redacted]

Mr. Holbrooke's father, Dan Holbrooke, is deceased. Mr. Holbrooke has listed the following living close relatives:

Mother Trudi Holbrooke Kearl
Scarsdale, New York

Stepfather Stanley Kearl
Scarsdale, New York

Son [redacted]
New York, New York

Son [redacted]
New York, New York

Brother [redacted]
New York, New York

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Records of the Immigration and Naturalization Service disclosed that Mr. Holbrooke's mother, Trudi Holbrooke Kearl, became a naturalized United States citizen on April 11, 1945.

Interviews

[redacted] lives in the building Mr. Holbrooke resided in until [redacted]. He said he does not know Mr. Holbrooke

Richard Charles Albert Holbrooke

very well, since he moved into Apartment 4 only a few months before Mr. Holbrooke moved out of Apartment 5. He noted that Mr. Holbrooke currently rents out his apartment. [redacted] advised that [redacted]

He said he does not consider Mr. Holbrooke to be very reliable or responsible because of occasional lateness in paying his bills. He said that on two occasions he has had to contact Mr. Holbrooke's secretary to obtain maintenance checks for Mr. Holbrooke's apartment. One of those times, Mr. Holbrooke was four months late in his payment, and another time he was five months late. He commented that Mr. Holbrooke is currently up-to-date in his payments. He attributed Mr. Holbrooke's late payments to disorganization on Mr. Holbrooke's part plus the fact that he is overseas. [redacted] advised that he is not concerned about Mr. Holbrooke's willingness to pay his bills, just his lateness in paying them. He said he has never discussed this matter with Mr. Holbrooke. [redacted] described Mr. Holbrooke as calm, serious, and bright, but also said he can be argumentative, difficult, and not very tactful when dealing with people. [redacted] did not wish to comment concerning a recommendation due to his overall lack of knowledge of Mr. Holbrooke.

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[redacted] advised she knew Mr. Holbrooke as [redacted] in the apartment building from [redacted]. She said Mr. Holbrooke is not very friendly, and he has been disrespectful to the occupants of the other apartments in the building. She believes Mr. Holbrooke is not reliable or responsible, noting that two years ago his son damaged the building, and although he said he would pay for the damage, he has not yet done so. She also stated that Mr. Holbrooke can be rude. She explained that when there was a long line to get to the voting booth during an election, Mr. Holbrooke cut into the front of the line.

[redacted] advised that Mr. Holbrooke used to be on time paying his bills for the building, but since he has been overseas he has been several months late in his payments. She said she is [redacted] and Mr. Holbrooke has never helped out or been involved in the management of the building. She would not recommend Mr. Holbrooke for a position of trust and confidence with the United States Government. (It is noted that when DOS conducted a background investigation on Mr. Holbrooke in 1993, [redacted] provided essentially the same information to DOS at that time. She told DOS that the building is a [redacted] cooperative residence and explained that [redacted] kept his bicycle in the hallway, which was an inconvenience to residents and eventually tore the wallpaper.)

Richard Charles Albert Holbrooke

AN INDIVIDUAL, WHO REQUESTED THAT HIS/HER IDENTITY BE PROTECTED FROM ANYONE OUTSIDE THE FBI, advised he/she has known Mr. Holbrooke in a professional capacity since Mr. Holbrooke

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[redacted] He/she described Mr. Holbrooke as intelligent, creative, and energetic, with a good understanding of foreign policy and experienced in the workings of government in Washington, D.C. He/she said Mr. Holbrooke is ethical, avoids conflicts of interest, and did not accept the position of ambassador to further his own agenda. He/she stated that Mr. Holbrooke is not always well organized in the traditional sense, but he keeps a lot of projects going simultaneously and gets things done. He/she commented that Mr. Holbrooke would probably not make a good accountant and his bookkeeping might be a tad sloppy, but Mr. Holbrooke employs other people to handle such matters. He/she recommended Mr. Holbrooke for a position of trust with the United States Government.

Seventeen additional persons, consisting of current and former colleagues and coworkers, references, and professional associates, were interviewed. They provided favorable comments concerning Mr. Holbrooke's character, associates, reputation, and loyalty.

All persons interviewed during the course of this background investigation stated they are unaware of any illegal drug use or alcohol abuse by Mr. Holbrooke, nor have they ever known him to exhibit any type of bias or prejudice against any class of citizen or any type of religious, racial or ethnic group. They also commented that they believe Mr. Holbrooke lives within his financial means. All persons interviewed, with the exception of [redacted] and [redacted] mentioned above, recommended him for a position of trust and responsibility.

Among those interviewed are the following:

Strobe Talbott, Deputy Secretary of State, Washington, D.C.;

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Phyllis E. Oakley, Assistant Secretary of State for Population, Region, and Migration, Washington, D.C.;

[redacted] for Administration,
United States Embassy, Bonn, Germany;

[redacted] United States
Embassy, Bonn, Germany;

Richard Charles Albert Holbrooke

[redacted] Lehman Brothers,
New York, New York; and

[redacted] Council on Foreign
Relations, New York, New York;

[redacted] International Rescue
Committee, New York, New York.

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Financial Responsibility

A search of computerized credit records, which was conducted at FBI Headquarters in July, 1994, disclosed no pertinent information concerning Mr. Holbrooke, except as noted below. The results of additional inquiries concerning these debts are also set forth below:

Records indicate that the New York City Department of Finance (NYCDOF) received a judgment of \$8,539 against Mr. Holbrooke in 1990. Records also indicate that a \$100 California state tax lien was placed against Mr. Holbrooke in 1991.

Records of the County Clerk's Docket Division, New York State Supreme Court, New York County, disclosed that a judgment of \$8,539.74 was filed against Mr. Holbrooke on April 18, 1990, by NYCDOF. According to court records, this judgment has not been resolved.

Records of NYCDOF, New York, New York, disclosed that Mr. Holbrooke paid \$8,263.59 in 1990. However, he still owes \$326 interest in regards to this matter, and for this reason the New York City Sheriff's Field Collections Investigative Unit put a lien of \$326 against him. The lien will be removed as soon as Mr. Holbrooke pays the outstanding balance.

During a 1993 DOS background investigation of Mr. Holbrooke, records of the Sacramento County, California, Recorder's Office were reviewed and disclosed that a tax lien was filed against Mr. Holbrooke on June 20, 1991, by the California Franchise Tax Board (CFTB) for tax year 1989 in the amount of \$112.26 (including tax, interest, and penalties). Another tax lien was filed against Mr. Holbrooke by the CFTB for the same tax year on August 12, 1991, in the amount of \$123.90 (including tax, penalty, interest, and cost). Both of these liens were released on November 13, 1991.

Richard Charles Albert Holbrooke

It is noted that during the 1993 DOS background investigation of Mr. Holbrooke, he was questioned regarding the two aforementioned matters. He stated he was unaware of them and then telephoned his accountant. His accountant advised, by speakerphone, that the City of New York had sent a notice for payment of \$8,000 on December 21, 1988, for estimated payment of unincorporated business tax. Due to oversight this tax was not paid, and a second notice dated January 17, 1990, was sent for payment of \$8,263. This was paid on February 2, 1990. Concerning the two \$100 California liens, the accountant advised they appeared to be state taxes on partnership holdings, and they were paid in 1991. Mr. Holbrooke reaffirmed that he had no knowledge of these two matters and had relied on his accountant to advise him when and where to pay all debts.

Mr. Holbrooke was interviewed during the course of the current FBI background investigation concerning the aforementioned state tax lien in California and the judgment in New York City. As during the 1993 DOS background investigation, he advised he had no knowledge of either matter and then contacted [redacted] in New York City. She told him the California tax matter, a \$123 tax lien, arose from certain stocks he held in a California firm. It was a tax adjustment and has long since been paid. She said the \$8,500 judgment was in regards to an unincorporated business tax and was paid by the accountants in 1989. [redacted] told Mr. Holbrooke to have the FBI contact her directly for complete information concerning these two matters.

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[redacted] Mahoney, Cohen and Company, New York, New York, was thereafter interviewed by the FBI. She advised that Mr. Holbrooke paid \$124.14 on September 17, 1991, as full payment due to the CFTB. She said that since sending in Mr. Holbrooke's check, they have received no further correspondence from CFTB. [redacted] said that in regards to the judgment in New York City, Mr. Holbrooke received a notice and demand for payment from the NYCDOF on January 17, 1990, for the amount of 8,263.59 for year 1988. She provided a copy of a check indicating Mr. Holbrooke paid the amount in full on February 2, 1990. She does not know why records currently indicate Mr. Holbrooke owes \$8,539.74, but speculated that the amount paid by Mr. Holbrooke was never recorded. She said the accounting firm has not received any further notification from NYCDOF of any amount due, but she will contact NYCDOF to resolve this matter.

Richard Charles Albert Holbrooke

Law Enforcement Agency Checks

Information has been received from appropriate law enforcement agencies indicating their files contain no record concerning Mr. Holbrooke.

It is noted that an initial check of records of the New York State Department of Motor Vehicles (NYSDMV) indicated that Mr. Holbrooke's driver's license was suspended on May 1, 1993, for failure to answer a summons. Mr. Holbrooke was interviewed by the FBI concerning this matter and he advised that he has never had his driving privileges suspended by New York or any other state. He also displayed a valid driver's license issued in Washington, D.C. He opined there could be some confusion between his name and that of his son, or perhaps someone else of the same name. NYSDMV records were then rechecked and confirmed that Mr. Holbrooke does not have a New York State driver's license. Furthermore, records of the District of Columbia confirmed that Mr. Holbrooke indeed holds a current, valid driver's license issued in Washington, D.C., with no indication of any actions taken against him.

Miscellaneous

A search of NEXIS, a computerized news retrieval service, disclosed no pertinent information concerning Mr. Holbrooke.

Agency Checks

Mr. Holbrooke was the subject of background investigations conducted by the Defense investigative (DIS) Service in August, 1988, and by DOS in June, 1962; December, 1976; and July, 1993. During the course of those investigations, sixty-nine individuals were interviewed and provided favorable comments concerning Mr. Holbrooke. The following information was disclosed during two of those background investigation:

During the 1976 DOS background investigation, a former supervisor said Mr. Holbrooke was reluctant to give credit to subordinates when it is due. The supervisor recommended Mr. Holbrooke for a position of trust but hesitated to recommend him for a supervisory position because he thought Mr. Holbrooke was too status conscious.

On 7/13/94, Legat contacted Ambassador Holbrooke and obtained the following information.

He has never had his driving privileges suspended by New York or any other state. He holds a valid drivers license from Washington, D.C. which he displayed to Legat. He opined that there could be some confusion of his name with that of his son, or with someone of the same name.

He was advised of a California Tax Lien in the amount of \$123.00 which came up on his credit record. He was additionally advised of a notation of an \$8,500.00 judgement against him from the New York City Department of Finance from December 1990. He advised that he had no knowledge of either matter. However, he contacted [redacted] at 212-490-8000. Normally he would have contacted his [redacted] who is unfortunately on vacation.

[redacted] advised him that the California tax matter had arisen from certain stocks held by him involving a California firm. The tax lien of \$123.00 had been identified as a tax adjustment and has long since been paid. As to the \$8,500.00, that amount had been paid by the accountants in 1989 as an unincorporated business tax. There should be no judgement whatsoever in connection with that issue. [redacted] has all the relevant records and is awaiting a call from the New York FBI to resolve any questions they may have in this regard. She has been told by the Ambassador to cooperate with the FBI and to await the call from the FBI immediately.

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FEDERAL BUREAU OF INVESTIGATION

Date of transcription 7/13/94

[redacted]
[redacted] telephone [redacted] was advised of the identity of the interviewing agent, and was advised that the nature of the interview was to conduct a background investigation for government employment regarding the candidate, RICHARD CHARLES ALBERT HOLBROOKE. [redacted] provided the following information:

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[redacted] advised he is [redacted]
[redacted] stated the candidate's former residence was at [redacted] Apartment #5. [redacted] advised he moved into [redacted] during the last few months that the candidate lived in apartment #5 during [redacted]. [redacted] stated he does not know the candidate very well, and does not keep in contact with the candidate. [redacted] advised the candidate owns apartment #5, and currently rents it out. [redacted] stated he has contact with the candidate's secretary in order to obtain the maintenance checks for the candidate's apartment. [redacted] advised the first time he tried to collect the check the candidate was four months late in his payment, and the second time [redacted] tried to receive a check for the maintenance, the candidate was five months late in his payment. [redacted] stated the secretary makes the payments for the candidate for the apartment, and that the candidate is currently up to date in his payments. [redacted] stated he has never spoken to the candidate about his late payments.

[redacted] stated he believes the candidate is late in his payments because of disorganization, and the fact that the candidate is currently overseas. [redacted] is not worried whether the candidate will pay his bills, the candidate is just late in paying the bills. [redacted] believes that this matter is not a high priority in the candidate's life. [redacted] advised he does not know the candidate very well, but described the candidate as a conservative, calm, serious and bright individual. [redacted] stated the candidate can be argumentative and difficult, and is not very tactful when dealing with people.

Investigation on 7/13/94 at New York, New York File # 161B-HQ-4612

by SA [redacted]Date dictated

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

161B-HQ-4612

Continuation of FD-302 of [REDACTED]

On 7/13/94, Page 2

[REDACTED] does not consider the candidate to be very reliable or responsible because of his lateness in the payments of his bills. [REDACTED] advised he believes that once you pin the candidate down, and the candidate commits to something, then the candidate is good for it, and will meet his obligations.

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[REDACTED] stated he does not know the candidate well enough to comment on his integrity or morals, and has no reason to question the candidate's mental or emotional stability. [REDACTED] believes the candidate would maintain confidences and secrets, and would exercise appropriate discretion. [REDACTED] stated he believes the candidate is honest, and has no reason to doubt the candidate's loyalty to the United States.

[REDACTED] does not know any of the candidate's associates, and is unaware of the candidate's reputation. [REDACTED] noted the candidate does not get along with the other tenants in the building, but the candidate has a professional appearance.

[REDACTED] is unaware of any details of any concealed activity or conduct on the part of the candidate which could be used in any way to subject the candidate to influence, pressure, coercion or compromise, and/or would impact negatively on the candidate's character, reputation, judgement or discretion.

[REDACTED] is unaware of any illegal drug use, alcohol abuser, or prescription drug abuse on the part of the candidate, and believes the candidate lives within his financial means. [REDACTED] stated the candidate has never displayed any form of violent, irrational, or deviant behavior, and the candidate appears to have a stable personality.

[REDACTED] advised the candidate has never displayed any bias or prejudice towards any group or organization. [REDACTED] advised that his comments regarding the candidate are based on a limited knowledge of the candidate. [REDACTED] was unable to recommend the candidate for a position of trust and confidence with the United States government based on the fact that he does not know the candidate very well. [REDACTED] concluded by stating that the candidate is a smart man and very bright, but that the candidate needs to be more tactful in dealing with people.

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 7/12/94

[redacted]
[redacted] telephone [redacted] was advised of the identity of the interviewing agent, and was advised that the nature of the interview was to conduct a background investigation for government employment regarding the candidate, RICHARD CHARLES ALBERT HOLBROOKE, and to verify the candidate's former residence at [redacted] New York, New York, from August 1988 to September 1993. [redacted] provided the following information:

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[redacted] advised the candidate owns the [redacted] residence and currently rents the apartment out. [redacted] advised the candidate lived at the residence from 1988 to 1993, and she has known the candidate since [redacted]

[redacted] advised the candidate is not very friendly, is disrespectful to the occupants of the other apartments in the building, and is rude to others. [redacted] stated she is [redacted] and stated the candidate has never been involved in the management of the building. [redacted] advised the candidate has never helped out with the building and is an unpleasant person. [redacted] stated she does not like the candidate's personality very much, and advised the candidate is not responsible or reliable. [redacted] advised that [redacted] years ago there was damage done to the building by [redacted] and the candidate has never reimbursed the building management. [redacted] stated the candidate said he would reimburse the building for the damage, but as of this date he has not done so. [redacted] stated she does not believe the candidate is 100% honest, and the candidate has no integrity or morals.

[redacted] advised the candidate appears to be mentally and emotionally stable. [redacted] advised she does not know enough about the candidate to comment on the candidate's ability to

Investigation on 7/6/94 at New York, New York File # 161B-HQ-4612by SA [redacted] Date dictated 7/12/94

161B-HQ-4612

Continuation of FD-302 of [REDACTED]

, On 7/6/94 , Page 2

maintain confidences or secrets. [REDACTED] stated she is unable to comment on the candidate's ability to exercise discretion, and has no reason to believe the candidate is not loyal to the United States. [REDACTED] is unaware of the candidate's reputation, but noted the candidate does not get along with others in the building. [REDACTED] does not know enough about the candidate's associates to comment on whether they are law abiding or reputable. [REDACTED] advised the candidate presents a professional appearance on the outside but does not have a good personality.

[REDACTED] noted the candidate can be very rude. [REDACTED] stated that once during election time there was a long line to get to the voting booth. [REDACTED] stated the candidate cut in line to get to the front of the line. [REDACTED] advised the candidate used to be on time in paying his bills for the building but since he has been overseas he is several months late in his payments.

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[REDACTED] advised she is unaware of any illegal drug use, alcohol abuse or prescription drug abuse on the part of the candidate, and stated the candidate appears to live within his financial means. [REDACTED] advised the candidate has never displayed any form of irrational, deviant or violent behavior, but noted the candidate can be argumentative.

[REDACTED] stated the candidate has never displayed any bias or prejudice towards any group or organization, but the candidate has overall disrespect for everyone. [REDACTED] is unaware of anything negative or derogatory regarding the candidate that could be used to coerce him in any way. [REDACTED] advised she would not recommend the candidate for a position of trust and confidence with the United States government, and added that she does not have a great feeling that the candidate represents the United States.

Richard Charles Albert Holbrooke

During the course of this background investigation, the records of the following entities were checked and found to contain [redacted] concerning Mr. Holbrooke, unless otherwise noted in this summary memorandum: b3 per CIA

Central Intelligence Agency;
Office of Personnel Management;
Securities and Exchange Commission;
Department of Defense;
Defense Clearance and Investigations Index;
DIS;
DOS;
Public Integrity Section and appropriate
United States Attorneys,
Department of Justice;
United States Secret Service;
and the White House Office.

Searches of the various indices of the FBI, including but not limited to the central index maintained at FBI Headquarters, the index of the Criminal Justice Information Services Division, the indices of appropriate field offices and other appropriate computer data bases, did not identify any documents that contain pertinent information identifiable with Mr. Holbrooke or his close relatives, except the following:

Mr. Holbrooke was the subject of background investigations conducted by the FBI in 1966 and 1977 in connection with employment at the White House or DOS. During the course of those investigations, fifty-eight individuals were interviewed and provided favorable comments concerning Mr. Holbrooke.

It should be noted that results of the above indices searches reveal only data entered into those indices as of the date each was searched. However, it should also be noted that some delays may occur as to the entry of such data.

TELEPHONE UNIT

19 JUL 94

FEDERAL BUREAU
OF INVESTIGATION

Dep. Dir.	_____
ADD Adm.	_____
ADD Inv.	_____
Asst. Dir.:	
Adm. Serv.	_____
Crim. Inv.	_____
Ident.	_____
Intell.	_____
Insp.	_____
Lab.	_____
Legal Coun.	_____
Tech. Serv.	_____
Training	_____
Cong. Affs. Off.	_____
Off. of EEO	_____
Off. Liaison & Int. Affs.	_____
Off. of Public Affs.	_____
Telephone Rm.	_____
Director's Office	_____

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00 P12

DE FBIN Y #0009 2001752

ZNR UUUUU

O 191751Z JUL 94

FM FBI NEW YORK (161B-HQ-4612) (RUC) (A-4)

TO DIRECTOR FBI/IMMEDIATE/

BT

UNCLAS

CITE: //3540//

PASS: HQ FOR PSS [REDACTED] SPIN UNIT.

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SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE; SPIN; OO:HQ;

BUDED: JULY 13, 1994.

REFERENCE TELEPHONE CALL FROM SA [REDACTED] TO PSS

[REDACTED] ON JULY 18, 1994.

REFERENCED TELEPHONE CALL ADVISED PSS [REDACTED] OF THE
FOLLOWING INFORMATION:

ACCORDING TO A DMV CHECK CONDUCTED ON JULY 13, 1994, THE
CANDIDATE HAS A WASHINGTON D.C. DRIVER'S LICENSE, HOWEVER, HIS
LICENSE WAS SUSPENDED ON MAY 1, 1993, DUE TO A FAILURE TO

7/22: Per [REDACTED] nothing additional
will be sent to the
White House

CC DESTROYED

PAGE TWO DE FBINY 0009 UNCLAS

ANSWER A SUMMONS, ORDER #T760934, IN WESTCHESTER COUNTY, TOWN OF BEDFORD, NEW YORK.

ON JULY 19, 1994, [REDACTED] COURT CLERK, BEDFORD TOWN COURT, WESTCHESTER COUNTY, NEW YORK, TELEPHONE (914) 666-6965, ADVISED THE CANDIDATE WAS STOPPED BY THE POLICE ON DECEMBER 3, 1992, AND WAS CITED FOR DRIVING AN UNINSPECTED MOTOR VEHICLE WITH A NEW YORK LICENSE PLATE. THE CANDIDATE FAILED TO ANSWER THE SUMMONS AND HIS LICENSE WAS SUSPENDED ON MAY 1, 1993. THE CANDIDATE HAD A WASHINGTON, D.C. DRIVER'S LICENSE AT THE TIME.

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[REDACTED] ADVISED THE CANDIDATE MUST ENTER A PLEA OF GUILTY AND PAY THE \$75.00 FINE TO HAVE THE SUSPENSION REMOVED.

AS NO FURTHER INVESTIGATION REMAINS, NEW YORK CONSIDERS THIS CASE RUC'D.

BT

#0009

NNNN

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE WMFO	OFFICE OF ORIGIN BUREAU	DATE 7/14/94	INVESTIGATIVE PERIOD 7/5/94 - 7/13/94
TITLE OF CASE RICHAD CHARLES ALBERT HOLBROOKE		REPORT MADE BY PSS [REDACTED]	TYPED BY: sef
		CHARACTER OF CASE SPIN (B) DSM	

REFERENCE: Bureau airtel, dated 7/1/94.

-P*-

ADMINISTRATIVE: All individuals were furnished appropriate provisions of the Privacy Act. Express promises of confidentiality, both limited and unlimited, have not been granted.

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WMFO electronic and general indices revealed no derogatory or pertinent information regarding the appointee.

NOTE: Attempts to interview reference [REDACTED] have met with negative results due to the fact [REDACTED] has cancelled his appointments for interview. [REDACTED] secretary has advised that he will be unavailable until at least 7/18/94. UACB, WMFO will make no further attempts to interview [REDACTED]

LEAD: United States Attorney's Office, Washington,

(Fax D.C. 7/14)

APPROVED [Signature]	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW			
COPIES MADE: 2-Bureau (161B-HQ-4612)- (ATTN: PSS [REDACTED]) 1-WMFO (161B-HQ-4612) CC DESTROYED [Signature]					
DISSEMINATION RECORD OF ATTACHED REPORT		Notations 31 [Signature]			
Agency					
Request Recd.					
Date Fwd.					
How Fwd.					
By					

UNITED STATES DEPARTMENT OF JUSTICE
Federal Bureau of Investigation

Copy to:

Report of:

PSS

Office: WMFO

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Date:

July 14, 1994

Field Office File #:

161B-HQ-4612

Bureau File #:

161B-HQ-4612

Title:

RICHARD CHARLES ALBERT HOLBROOKE

Character:

SPECIAL INQUIRY (B)

Synopsis:

White House Office checked. Employment verified and favorable. DOS OPF reviewed. Residence verified and favorable. Reference interviewed and commented favorably. IG/SY at DOS checked, no derogatory information. PIS checked, no record. U.S.S.S. checked, no derogatory information. Law enforcement agencies checked, no record.

-P*-

WMFO 161B-HQ-4612

JLM:laht

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EMPLOYMENT

Executive Clerk's Office
The White House
Washington, D.C.

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On July 8, 1994, Special Agent (SA) [REDACTED] checked the files of the Executive Clerk's Office, which revealed the following pertinent information regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE:

On March 7, 1977, the appointee was nominated as Assistant Secretary of State and was confirmed on March 23, 1977.

As Assistant Secretary of State for East Asian and Pacific Affairs, the appointee was designated as representative of the President with the rank of Special Ambassador to attend the ceremonies incident to the celebration of the independence of the Solomon Islands. The letter of credence was signed and dated June 28, 1978.

The file contained no additional pertinent information regarding the appointee.

WMFO 161B-HQ-4612

JLM:gf

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EMPLOYMENT

United States Department of State (USDS)
2201 C Street, Northwest
Washington, D.C.

The following investigation was conducted by Special Agent (SA) [redacted] on July 12, 1994, at the above-listed location, regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE:

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[redacted] of State, advised that he has known the appointee for over 20 years. [redacted] stated that he has worked with the appointee both at the USDS and also in the private sector. [redacted] stated that he knows the appointee semi-socially, but the majority of his association is professional. [redacted] described the appointee as being a very competent, loyal, dedicated, trustworthy, and competent individual. [redacted] stated he knows of nothing derogatory about the appointee. He stated he had no knowledge of the appointee using or selling illicit drugs or abusing prescription drugs or alcohol. According to him, there is no reason to question the appointee's character, associates, reputation, or loyalty to the United States Government. He stated the appointee is in good physical condition, is emotionally and financially stable, and is an unbiased person. He stated he knows of nothing of a derogatory nature that could be used to blackmail or coerce the appointee, and he highly recommended the appointee for a position of trust and confidence with the United States Government.

[redacted] for Population, Region, and Migration, advised on July 12, 1994, that she has known the appointee since 1968. [redacted] stated that she knows the appointee both professionally and socially, and knows of nothing derogatory about the appointee. [redacted] described the appointee as being a very competent individual who is very well respected, honest, trustworthy, dependable, and extremely intelligent. [redacted] stated she knows of nothing derogatory about the appointee. She stated she had no knowledge of the appointee using or selling illicit drugs or abusing prescription drugs or alcohol. According to her, there is no reason to question the appointee's character, associates, reputation, or loyalty to the United States Government. She stated the appointee is in good physical condition, is emotionally and financially stable, and is

WMFO 161B-HQ-4612

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an unbiased person. She stated she knows of nothing of a derogatory nature that could be used to blackmail or coerce the appointee, and she highly recommended the appointee for a position of trust and confidence with the United States Government.

WMFO 161B-HQ-4612

JLM:gf

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EMPLOYMENT

United States Department of State (USDS)
2201 C Street, Northwest
Washington, D.C.

The following investigation was conducted by Special Agent (SA) [redacted] on July 12, 1994, regarding the appointee; RICHARD HOLBROOKE at the above-listed location:

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[redacted]
State for East Asian and Pacific Affairs, current telephone 736-4572, advised that he has known the appointee since January of 1977. [redacted] stated that the appointee served at the USDS during the President CARTER Administration from 1977 through 1981.

[redacted] stated that during 1977 and 1978, he was the Special Assistant to the appointee at the USDS.

[redacted] stated that he has not worked directly with the appointee since 1968, but has seen the appointee on numerous occasions in both a professional and social context over the last 16 years. [redacted] described the appointee as being a very capable, competent, highly motivated, honest, well respected, and trustworthy individual. [redacted] stated he knows of nothing derogatory about the appointee. He stated he had no knowledge of the appointee using or selling illicit drugs or abusing prescription drugs or alcohol. According to him, there is no reason to question the appointee's character, associates, reputation, or loyalty to the United States Government. He stated the appointee is in good physical condition, is emotionally and financially stable, and is an unbiased person. He stated he knows of nothing of a derogatory nature that could be used to blackmail or coerce the appointee, and concluded by stating that he would recommend the appointee highly for a position of trust and confidence with the United States Government.

WMFO 161B-HQ-4612

JLM:gf

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EMPLOYMENT

United States Department of State (USDS)
2201 C Street, Northwest
Washington, D.C.

The following investigation was conducted by Special Agent (SA) [redacted] on July 14, 1994, regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE, at the above-listed location:

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[redacted] Office of Thailand and Burma Affairs, advised that he has known the appointee since late 1976. [redacted] stated that the appointee is the former Assistant Secretary for East Asian Affairs, and that he [redacted] worked in that area. [redacted] stated that his association over the years with the appointee is both professional and social. [redacted] described the appointee as being a dedicated public servant who is extremely capable, intelligent, trustworthy, hardworking, dedicated, and well respected. [redacted] stated he knows of nothing derogatory about the appointee. He stated he had no knowledge of the appointee using or selling illicit drugs or abusing prescription drugs or alcohol. According to him, there is no reason to question the appointee's character, associates, reputation, or loyalty to the United States Government. He stated the appointee is in good physical condition, is emotionally and financially stable, and is an unbiased person. He stated he knows of nothing of a derogatory nature that could be used to blackmail or coerce the appointee, and he highly recommended the appointee for a position of trust and confidence with the United States Government.

WMFO 161B-HQ-4612

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RESIDENCE

United States Embassy
Bonn, Germany

The following investigation was conducted by Special Agent (SA) [] on July 11, 1994, regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE:

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[] Lehman Brothers, 800 Constitution Avenue, Northwest, Washington, D.C., advised that he has known the appointee probably for the last five or six years. [] stated that he was the Ambassador to Germany for the United States from 1991 through September, 1993, when he was replaced by the appointee. [] stated that the appointee has been Ambassador to Germany since September, 1993, and is still at the American Embassy in Bonn.

[] stated that his association with the appointee is mainly on a professional basis; however, he does know the appointee semi-socially. [] described the appointee as being the type of individual who is of very high character, honest, trustworthy, well respected, likeable, and dependable.

[] stated that he knows of nothing derogatory about the appointee, nor has he ever heard of anything derogatory. [] had no knowledge of the appointee ever using or selling illicit drugs, or abusing prescription drugs or alcohol. According to []

there is no reason to question the appointee's character, associates, reputation, or loyalty to the United States Government. [] stated that the appointee appears to be in good physical condition, is emotionally and financially stable, and is an unbiased individual. [] added that he knows of nothing that could be used to blackmail or coerce the appointee and repeated that the appointee has a very fine reputation. [] concluded by stating that he would not hesitate at all in highly recommending the appointee for a position of trust with the United States Government.

WMFO 161B-HQ-4612

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REFERENCE

[REDACTED]
Washington, D.C.

The following investigation was conducted by Special Agent (SA) [REDACTED] on July 11, 1994, regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE:

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[REDACTED] advised that he has known the appointee since the fall of 1969. [REDACTED] stated that he and the appointee both work at the Woodrow Wilson Institute and Princeton University together and that he was at the White House during the CARTER Administration and that the appointee was at the United States Department of State (USDS) where they worked very closely together. [REDACTED] also stated that from 1981 through 1989, he was the President of Public Strategies and that the appointee was with Public Strategies for about four years during the early 1980s. [REDACTED] described the appointee as being a very honest, trustworthy, hardworking, dependable, and likeable individual. [REDACTED] stated that he knows of nothing derogatory about the appointee, and has no knowledge of the appointee ever using or selling illicit drugs, or abusing prescription drugs or alcohol. [REDACTED] added that he knows of no reason to question the appointee's character, associates, reputation, or loyalty to the United States Government. [REDACTED] stated that the appointee appears to be in good physical condition, is emotionally and financially stable, and is an unbiased individual. [REDACTED] stated that he knows of nothing that could be used to blackmail or coerce the appointee and concluded by stating that he would highly recommend the appointee for a position of trust with the United States Government.

WMFO 161B-HQ-4612

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OFFICIAL PERSONNEL FOLDER (OPF)

United States Department of State (USDS)
2201 C Street, Northwest
Washington, D.C.

The following investigation was conducted by Special Agent (SA) [redacted] on July 11, 1994, regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE:

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[redacted] Room 5428, made the appointee's OPF available for review. The file contained the following pertinent information regarding the appointee since the last investigation was conducted in July, 1993:

<u>DATE</u>	<u>ACTION</u>
March 15, 1993	Accepted a position with the Office of the Secretary of Defense as a consultant. Non-paid position.
September 22, 1993	Termination at the Office of the Secretary of Defense of accept position with USDS.
September 23, 1993	Appointment by the President as Ambassador to Germany, Chief of Mission, Bonn, Germany.

The file contained no additional pertinent, nor any derogatory information.

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[redacted] advised she could locate [redacted] no record regarding the appointee. [redacted] OIG, USDS, telephone

WMFO 161B-HQ-4612

JLM:gf

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SECURITY

Office of Diplomatic Security (DS)
United States Department of State (USDS)
2121 Virginia Avenue, Northwest
Washington, D.C.

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A request was made by Special Agent (SA) [redacted] on July 5, 1994, to review the security file regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE. On July 6, 1994, EMMA NORRIS, Security Specialist with DS at USDS, telephone (202) 663-0185, made the appointee's security file available for review. The following pertinent information was contained in the file regarding the appointee since the last investigation was conducted in July, 1993:

<u>Date</u>	<u>Action</u>
July 9, 1993	Security clearance granted up to and including Top Secret, based upon DS investigation, with no derogatory information

The file contained no additional pertinent or derogatory information regarding the appointee.

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161B-HQ-4612
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U.S. DEPARTMENT OF JUSTICE

PUBLIC INTEGRITY SECTION
Criminal Division
1400 New York Avenue, N.W.
Washington, D.C.

On July 12, 1994, Investigative Assistant (IA) [REDACTED] caused a search to be made of the files of the U.S. DEPARTMENT OF JUSTICE (DOJ), Criminal Division, Public Integrity Section, Washington, D.C., concerning RICHARD CHARLES ALBERT HOLBROOKE and was advised of the following:

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[REDACTED] Case Management Technician, Public Integrity Section, DOJ, advised IA [REDACTED] that a search of the files concerning the appointee was met with negative results.

WMFO 161B-HQ-4612

JJM:sef

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SECURITIES AND EXCHANGE COMMISSION

450 5th Street, Northwest
Washington, D.C.

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On July 8, 1994, [redacted] Office of Enforcement,
Securities and Exchange Commission, advised Special Agent (SA)
[redacted] that their files reflect no identifiable
derogatory information concerning the appointee, RICHARD CHARLES
ALBERT HOLBROOKE.

WMFO 161B-HQ-4612
MLH:mlh

DRIVER'S RECORD

DEPARTMENT OF TRANSPORTATION
Bureau of Motor Vehicle Services
District of Columbia Government
301 C. Street, N.W.
Washington, D.C.

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On July 12, 1994, Investigative Assistant (IA) [] searched the computerized records of the DEPARTMENT OF TRANSPORTATION, Bureau of Motor Vehicle Services, for the District of Columbia Government and determined that no traffic record could be located concerning the applicant, RICHARD CHARLES ALBERT HOLBROOKE.

OPERATORS PERMIT : 132323096
CLASS : D
EXPIRES : 2/17/97

WMFO 161B-HQ-4612
MLP:mlp

NATIONAL PARK SERVICE (NPS)
U.S. Park Police Department (PKPD)
1100 Ohio Drive,
Washington, D.C.

[redacted] On July 11, 1994, Investigative Assistant (IA) [redacted]
[redacted] caused a search to be made of the records of the above
captioned agency concerning the appointee, RICHARD CHARLES ALBERT b6
HOLBROOKE. [redacted] Clerk of the agency reviewed the b7C
records and advised that no identifiable Adult Criminal record
could be located regarding the appointee.

WMFO 161B-HQ-4612

SEF:sef

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LAW ENFORCEMENT AGENCIES

On July 6, 1994, query was made of the Washington Area Law Enforcement System (WALES) computer and it was determined that no record was located at the Metropolitan Police Department concerning the appointee.

It is noted that at all times an indefinite number of unidentified records may not be in the computer and not available for review.

WMFO 161B-HQ-4612

RLW:rlw

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AGENCY CHECK

UNITED STATES SECRET SERVICE (USSS)
Investigative Support and Research Division (ISRD)
1800 G Street, Northwest
Washington, D.C.

On July 12, 1994, Investigative Assistant (IA) [redacted]
[redacted] caused a search to be made of the files of the United
States Secret Service (USSS), Department of the Treasury,
Washington, D.C., regarding the appointee, RICHARD HOLBROOKE.

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On July 12, 1994, [redacted] ISRD, USSS, advised
IA [redacted] that no record was found regarding the appointee
RICHARD HOLBROOKE.

No further pertinent information was available.

Memorandum



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To : DIRECTOR, FBI
(ATTN: SPIN UNIT, ROOM 4371, FBIHQ)

From : SAC, WMFO (A-1) (161B-HQ-4612) (RUC)

Subject: RICHARD CHARLES ALBERT HOLBROOKE;
SPIN (B);
BUDED: 7/13/94

Date 7/14/94

Deh

Re WMFO Pending report, dated 7/14/94.

All individuals were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality, both limited and unlimited, have not been granted.

Attached for the Bureau are additional checks concerning the appointee.

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(Fax rec'd 7/14)

1-BUREAU (161B-HQ-4612)
(ATTN:)
1-WMFO (161B-HQ-4612)

Deh

SPECIAL INQUIRY
UNIT
JUL 19 12 08 PM '94
RECEIVED-FBI

WMFO 161B-HQ-4612
JJM:jjm

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SECURITY OFFICE CHECK

Office of the Secretary of Defense
Security Branch
The Pentagon, Room 3B347
Arlington, Virginia

The following investigation was conducted by Special Agent (SA) [redacted] on July 14, 1994, regarding RICHARD CHARLES ALBERT HOLBROOKE:

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[redacted] Personnel Security Specialist, advised that the records of the Security Office indicate that the appointee is currently "Inactive", but that he formerly held a "TS" clearance granted on 4/2/93 based on a DIS investigation on 12/27/88.

b6 Per DOD

WMFO 161B-HQ-4612
TMF:tmf

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OFFICE OF THE INSPECTOR GENERAL

Department of Defense
Office of the Inspector General
400 Army-Navy Drive, Room 1027
Arlington, Virginia

The following investigation was conducted by Special Agent (SA [redacted]) on July 14, 1994, regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE:

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[redacted] advised that the above captioned office has no record for this individual.

WMFO 161B-HQ-4612
MLH:mlh

U.S. ATTORNEY'S OFFICE
555 4th Street, N.W.
Washington, D.C.

On July 7, 1994, Investigative Assistant (IA) [] submitted a request for a search to be conducted regarding RICHARD CHARLES ALBERT HOLBROOKE.

On July 14, 1994, IA [] was contacted by [] U.S. Attorney's Office, Liaison of the Pending and Closed Cases of the NARCOTICS, PUBLIC CORRUPTION, ECONOMIC CRIME, TRANSNATIONAL/MAJOR CRIMES UNIT of the above captioned agency. [] advised that no identifiable record could be located regarding RICHARD CHARLES ALBERT HOLBROOKE.

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On July 13, 1994, IA [] was contacted by [] U.S. Attorney's Office, Liaison of the Pending and Closed Cases of the Civil Division. [] advised that no identifiable record could be located regarding RICHARD CHARLES ALBERT HOLBROOKE.

It should be noted that the index system of the Civil Division, U.S. Attorney's Office, contains only names of plaintiffs, except in Civil Actions brought by the United States against a particular defendant. Suits against government employees who are represented by the United States Attorney would be filed by plaintiff's name and docket number.

RECEIVED
TELETYPE UNIT

JUL 14 1994

FEDERAL BUREAU
OF INVESTIGATION

Dep. Dir.	
ADD Adm.	
ADD Inv.	
Asst. Dir.:	
Adm. Serv.	
Crim. Inv.	
Ident.	
Info. Mgmt.	
Insp.	
Intell.	
Lab.	
Legal Coun.	
Tech. Serv.	
Training	
Cong. Affs. Off.	
Off. of EEO	
Off. of Liaison & Int. Affs.	
Off. of Public Affs.	
Telephone Rm.	
Director's Office	

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FM FBI NEW YORK (161B-HQ-4612) (RUC) (A-4)

TO DIRECTOR FBI (161B-HQ-4612)/IMMEDIATE/

BT

UNCLAS

CITE: //3540//

PASS: HQ FOR PSS [REDACTED], SPIN UNIT.

SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE; SPIN; OO:HQ; BUDED
7/13/94.

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RE BUREAU AIRTEL TO NEW YORK, DATED 7/1/94 AND NY FD-263,
DATED 7/13/94. RE BUREAU FACSIMILE TO NEW YORK, DATED 7/5/94
AND BUREAU FACSIMILE TO NEW YORK, DATED 7/13/94.

FOR INFORMATION OF THE BUREAU, A REVIEW OF THE NEW YORK
OFFICE GENERAL INDICES REVEALED NOTHING POSITIVELY
IDENTIFIABLE TO THE CANDIDATE'S RELATIVES.

ON 7/14/94, IA [REDACTED] CONDUCTED A CHECK WITH

CC DESTROYED

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dec

PAGE TWO DE FBINY 0047 UNCLAS

THE CITY OF NEW YORK DEPARTMENT OF FINANCE-COLLECTION
DIVISION, 25 ELM PLACE, BROOKLYN, NEW YORK.

[REDACTED] REVIEWING AGENT, DEPARTMENT OF FINANCE-
COLLECTION DIVISION, TELEPHONE [REDACTED] ADVISED THE
CANDIDATE PAID THE DEPARTMENT OF FINANCE THE AMOUNT OF
\$8,263.59 IN 1990.

[REDACTED] STATED THE CANDIDATE STILL HAS AN OUTSTANDING
BALANCE OF \$326.00 OWED TO THE DEPARTMENT OF FINANCE AS OF
7/14/94. [REDACTED] ADVISED THE NEW YORK CITY SHERIFF'S FIELD
COLLECTIONS INVESTIGATIVE UNIT PUT A LIEN OF \$326.00 FOR
INTEREST OWED TO THE NEW YORK CITY DEPARTMENT OF FINANCE BY
THE CANDIDATE.

[REDACTED] ADVISED AS SOON AS THE CANDIDATE PAYS THE
REMAINING OUTSTANDING BALANCE OF \$326.00, THE DEPARTMENT OF
FINANCE WILL REMOVE THE LIEN.

AS NO FURTHER INVESTIGATION REMAINS, NEW YORK CONSIDERS
THIS CASE RUC'D.

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FBI FACSIMILE COVERSHEET

CLASSIFICATION

PRECEDENCE

- ☐ Immediate
☒ Priority
☐ Routine

- ☐ Top Secret
☐ Secret
☐ Confidential
☐ Sensitive
☒ Unclassified

Time Transmitted: _____

Sender's Initials: _____

Number of Pages: 3To: Legat Bonn

(Name of Office)

Date: 7-13-94

Facsimile number: _____

Attn: Legat

(Name)

Phone No.) _____

From: SPIN Unit - FBIHQ

(Name of Office)

b6
b7CSubject: Richard Charles Albert Holbrooke
SPINBuded: 7-13-94Special Handling Instructions: Please hand carry toThank you.

Originator's Name _____

Telephone _____

Originator's Facsimile Number _____

Approved: JAB/Def

FBI/DOJ

ROUTING SLIP

July 13, 1994

TO: Legat Bonn
FROM: Director, FBI (161B - HQ - 4612)
SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE
SPIN;
OO: FBIHQ
BUDED: 7/13/94

Reference Butelcall from PSS [] SPIN Unit,
to Legat [] this date.

Per referenced Butelcall this date, Bonn should conduct the investigation indicated below.

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Direct results/questions to PSS [] SPIN
Unit, FBIHQ, Room 4371, Ext. [] to be received by no later
than COB today.

LEADS:

LEGAT BONN:

If possible, interview appointee concerning the following matters:

1. Records of the New York State Department of Motor Vehicles (DMV) disclosed that appointee's New York State driver's license was suspended 5/1/93 for failure to answer a summons. DMV records contained no further information concerning this matter. Interview appointee to determine if he has any knowledge about this matter. (It is noted that the New York Field Office is conducting additional inquiries concerning this matter; however, Applicant Supervisor [] advised that it may not be possible to locate any further records about it.)

2. During a 1993 Department of State (DOS) background investigation of appointee, it was determined that there was a 1991 California state tax lien of approximately \$100 against appointee in Sacramento, California, and a 12/90 judgment of approximately \$8,500 against him by the New York City Department of Finance. DOS interviewed appointee about these matters and he advised he was unaware of them. He then contacted his [] who advised DOS via speakerphone that he

Routing Slip to Legat Bonn dated 7/13/94
Re: Richard Charles Albert Holbrooke

had handled both matters and they had been paid. DOS verified that the California state tax lien had been lifted but did not verify that the New York City judgment had been satisfied. (The New York Field Office is currently verify that the judgment has been paid.) Interview appointee to obtain his comments concerning these two matters.



OFFICE OF THE LEGAL ATTACHE
UNITED STATES EMBASSY
FEDERAL REPUBLIC OF GERMANY
GERMAN FAX NUMBER [REDACTED]
INTERNATIONAL FAX NUMBER [REDACTED]

TO: [REDACTED]

FAX NUMBER: [REDACTED]

FROM: LEGAT BONN

NUMBER OF FOLLOWING PAGES: 3

COMMENTS:

RUC 161-B-HQ-4612

APPROVED BY:

UNCLASSIFIED

Memorandum



To : Director, FBI
Attn: [redacted] SPIN Unit

Date 7/13/94

From : *[Signature]* Legat Bonn (161-B-HQ-4612) (RUC)

Subject: RICHARD CHARLES ALBERT HOLBROOKE;
SPIN
OO: FBIHQ
BUDED: 7/13/94

Re [redacted] call to Legat [redacted] and return telcal
on 7/13/94.

On 7/13/94, Legat contacted Ambassador Holbrooke and obtained the following information.

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He has never had his driving privileges suspended by New York or any other state. He holds a valid drivers license from Washington, D.C. which he displayed to Legat. He opined that there could be some confusion of his name with that of his son, or with someone of the same name.

He was advised of a California Tax Lien in the amount of \$123.00 which came up on his credit record. He was additionally advised of a notation of an \$8,500.00 judgement against him from the New York City Department of Finance from December 1990. He advised that he had no knowledge of either matter. However, he contacted [redacted] at 212-490-8000. Normally he would have contacted his regular [redacted] who is unfortunately on vacation.

[redacted] advised him that the California tax matter had arisen from certain stocks held by him involving a California firm. The tax lien of \$123.00 had been identified as a tax adjustment and has long since been paid. As to the \$8,500.00, that amount had been paid by the accountants in 1989 as an unincorporated business tax. There should be no judgement whatsoever in connection with that issue. [redacted] has all the relevant records and is awaiting a call from the New York FBI to resolve any questions they may have in this regard. She has been told by the Ambassador to cooperate with the FBI and to await the call from the FBI immediately.

Also on 7/13/94, Legat contacted [redacted] He was advised of the provisions of the Privacy Act and did not request confidentiality.

[] has known Ambassador Holbrooke since 1980 when Holbrooke was serving as an Assistant Secretary of State. He has served under Holbrooke since September 1993 upon Holbrooke's arrival in Bonn. Since that time the two have spent a great deal of time together in connection with their official duties and

[] has served as the [] advising him on ethics issues.

[] does not believe that Holbrooke has any drug or alcohol abuse problems, and has seen him in numerous social situations where he drank sparingly, if at all. There have never been any signs of substance abuse.

[] is not aware that there are or may have been any personal or professional debts, credit problems, suits or judgments involving Holbrooke, and [] capacity within the embassy is one where he would have known of any such job-related issues. He is similarly unaware of any criminal charges, arrests, convictions or any hint of any criminal activity on Holbrooke's part.

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[] does not believe that Holbrooke has ever been denied employment or dismissed from employment. He has no knowledge of Holbrooke's personal life, but has seen no indication that he has any inappropriate contacts with foreign representatives. He is also unaware of any indication of professional complaints or disciplinary action, to include EEO issues, made or taken against Holbrooke.

As to conflicts of interest [] noted that Holbrooke's prior employment and investments could conceivably result in a conflict of interest, however knows of no such conflict. [] presumes that has already been addressed within the Legal Section of the Department of State.

[] is unaware of any psychological or psychiatric counseling or any sort provided to Holbrooke, nor does he see any signs of instability. He is not aware of membership in any organization which restricts membership based on race, sex, color, religion or national origin. [] is aware of his membership in any number of foreign affairs organizations such as the Council on Foreign Relations, but does not believe any of these have any restrictive membership covenants.

[] advised that Holbrooke keeps his personal life to himself, but he is not aware of any indication that Holbrooke is concealing anything which could be used to compromise him in any way. [] is also unaware of any negligence in paying any sort of taxes, including income, medicare, social security or unemployment taxes. Holbrooke has mentioned that his finances are managed by accountants in New York.

[redacted] advised that Holbrooke, as Ambassador, has always assumed full responsibility for his personal expenses. He has never asked for any improper benefits. He has always followed [redacted] counsel on ethics issues. He has never attempted to improperly insert himself in the personnel issues of the embassy, giving his opinion from time to time, but always leaving the final decision to [redacted] in his role as the Administrative Minister Counselor of the embassy. In that regard, his financial and personnel oversight as Ambassador have been without blemish.

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[redacted] is unaware of any negative factor which could have an adverse bearing on Holbrooke's suitability to perform in a position of trust and senior management in the U.S. Government, or which would adversely impact on his ability to be confirmed or complete the task for which he is nominated. He is incredibly intelligent, and has a broad grasp of policy. He embodies a great deal of energy and imagination. He is willing to make full advantage of opportunities that present themselves. These are all skills that can not be delegated to a lower level, and make him an excellent choice for any policy-level position in Government. Hays recommends him for such a policy-making position.

With all leads covered, this matter is RUC.

IMPORTANT AND URGENT



FBI/DOJ



FBI FACSIMILE COVERSHEET

CLASSIFICATION

PRECEDENCE

- ☐ Immediate
☒ Priority
☐ Routine

- ☐ Top Secret
☐ Secret
☐ Confidential
☐ Sensitive
☒ Unclassified

Time Transmitted: _____

Sender's Initials: _____

Number of Pages: 2To: FBI NY Date: 7-13-94

Facsimile number _____

Attn: SupervisorFrom: SPIN Unit - FBIHQSubject: Richard Charles Albert Holbrooke
SPINBuded: 7-13-94Special Handling Instructions: Please hand carry to

Originator's Name _____

Telephone _____

Originator's Facsimile Number _____

Approved: JAB/DeT

FBI/DOJ

ROUTING SLIP

July 13, 1994

TO: ADIC, New York
FROM: Director, FBI (161B - HQ - 4612)
SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE
SPIN;
OO: FBIHQ
BUDED: 7/13/94

Reference Butelcall from PSS [redacted] SPIN Unit,
to Supervisor [redacted] this date.

Referenced Butelcall advised New York of the following information: Legat [redacted] Bonn, telephonically advised PSS [redacted] that he had just interviewed appointee regarding the suspended New York driver's license matter as well as the \$8,500 judgment against him in New York City. Appointee said he has never had a New York driver's license. (Note: Appointee has a vacation residence in Connecticut which he frequented on a nearly weekly or bi-weekly basis, so he may be licensed in that state.) Regarding the judgment, appointee advised he has no knowledge about it and recommended contacting his [redacted] [redacted] for further information. She can be reached at (212) 490-8000.

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Direct results/questions to PSS [redacted] SPIN Unit, FBIHQ, Room 4371, Ext. [redacted] to be received by COB today.

LEADS:

NEW YORK DIVISION:

Contact [redacted] regarding the judgment against appointee. [redacted] is the [redacted] [redacted] who was interviewed by the Department of State (DOS) regarding this matter during DOS's 1993 background investigation of appointee. [redacted] is out of the office and unavailable at the present time. Appointee said [redacted] would be familiar with his affairs and is expecting to be contacted by the New York FBI.

**IMPORTANT
AND URGENT**

FBI/DOJ

**FBI FACSIMILE
COVERSHEET****CLASSIFICATION****PRECEDENCE**

- ☐ Immediate
☒ Priority
☐ Routine

- ☐ Top Secret
☐ Secret
☐ Confidential
☐ Sensitive
☒ Unclassified

Time Transmitted: _____

Sender's Initials: _____

Number of Pages: 2To: FBI NY
(Name of Office)Date: 7-13-94

Facsimile number: _____

Attn: Supervisor
(Name)From: SPIN
(Name of Office)b6
b7cSubject: Richard Charles Albert HolbrookeSPINBuded: 7-13-94Special Handling Instructions: Please hand carry to 161 Supervisor.

Originator's Name: _____

Telephone: _____

Originator's Facsimile Number: _____

Approved: JAB/DeT

FBI/DOJ

ROUTING SLIP

July 13, 1994

TO: ADIC, ~~WFO~~ New York
FROM: Director, FBI (161B - HQ - 4612)
SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE
SPIN;
OO: FBIHQ
BUDED: 7/13/94

Reference Bureau fax to New York et al dated 7/1/94;
Bureau Routing Slip to New York dated 7/5/94; New York Pending
report of SA [redacted] dated 7/12/94; and Butelcall from
PSS [redacted] SPIN Unit, to New York Supervisor [redacted]
this date.

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Per referenced Butelcall, New York should conduct the
investigation and/or provide the information indicated below.

Direct results/questions to PSS [redacted] SPIN
Unit, FBIHQ, Room 4371, Ext. [redacted] TO BE RECEIVED BY NO LATER
THAN COB TODAY, 7/13/94. PER THE DIRECTOR, THE RESULTS OF THIS
INVESTIGATION MUST BE PROVIDED TO THE WHITE HOUSE BY NO LATER
THAN FRIDAY, 7/15/94.

LEADS:

NEW YORK DIVISION:

1. Insure that New York indices are checked on all
relatives residing in New York's territory.
2. Insure that coworkers at Lehman Brothers are
interviewed today.
3. Insure that all persons interviewed are questioned
regarding if they are aware of anything in appointee's background
that could be used to influence, coerce, or pressure him, etc.
4. Conduct further investigation regarding the
suspension of appointee's driver's license on 5/1/93 for failure
to answer a summons.

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN BUREAU	DATE 7/13/94	INVESTIGATIVE PERIOD 7/5/94 - 7/13/94
TITLE OF CASE RICHARD CHARLES ALBERT HOLBROOKE		REPORT MADE BY SA 	TYPED BY: ts
		CHARACTER OF CASE SPIN	

REFERENCE:

Bureau airtel to NY dated 7/1/94, Bureau facsimile to NY dated 7/1/94, and Bureau facsimile to NY dated 7/13/94.

-RUC-

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ADMINISTRATIVE:

All persons interviewed were furnished the appropriate provisions of the Privacy Act of 1974. Express promises of confidentiality, both limited and unlimited have not been granted.

APPROVED: [Signature] SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW																																		
COPIES MADE: ② - BUREAU (161B-HQ-4612) (ATTN:) 1 - New York (161B-HQ-4612)	31																																		
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UNITED STATES DEPARTMENT OF JUSTICE
Federal Bureau of Investigation

Copy to:

Report of:
Date:

SA

July 13, 1994

Office: NEW YORK

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Field Office File #: 161B-HQ-4612

Bureau File #: 161B-HQ-4612

Title: RICHARD CHARLES ALBERT HOLBROOKE

Character: SPIN

Synopsis:

Additional neighbor interviewed. Employment-coworkers-
interviewed. Credit check. Tax Manager interviewed.
DMV checked.

-RUC-

161B-HQ-4612

TS:ts

EMPLOYMENT

Lehman Brothers (aka Shearson Lehman Brothers)
200 Vesey Street
New York, New York
April 1985 to September 1993

The following investigation was conducted by SA [redacted]
[redacted] on July 13, 1994, regarding the candidate, RICHARD CHARLES
ALBERT HOLBROOKE:

[redacted], Investment Banking
Department, Lehman Brothers, 200 Vesey Street, New York, New
York, telephone [redacted] advised she has known the
candidate for nine years, and stated she worked next to the
candidate's secretary. [redacted] described the candidate as
knowledgeable, intelligent, and a person that everyone loved.

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[redacted] advised the candidate was responsible and
reliable with the highest integrity and morals. [redacted] advised
the candidate is mentally and emotionally stable, and can
maintain confidences and secrets. [redacted] stated the candidate
can exercise appropriate discretion, and is a very honest man.
[redacted] advised the candidate's reputation is very good, and
that there is nothing but the nicest things said about the
candidate. [redacted] advised the candidate is loyal to the United
States, and his associates are responsible and reliable.

[redacted] advised the candidate got along well with
others, and presented a professional appearance. [redacted] is
unaware of any illegal drug use, alcohol abuse, or prescription
drug abuse on the part of the candidate. The candidate appears
to have a lifestyle that is consistent with his financial means,
and has never displayed any irrational, violent, or deviant
behavior. The candidate has a stable personality, and has never
displayed any bias or prejudice towards any group or
organization. [redacted] is unaware of any details of any
concealed activity or conduct which could be used to subject the
candidate to influence, pressure, coercion or compromise, and/or
would impact negatively on the candidate's character, reputation,
judgement or discretion. [redacted] concluded by highly
recommending the candidate for a position of trust and confidence
with the United States government, and added that the candidate
could be president of the United States.

[redacted] Lehman Brothers, 200
Vesey Street, New York, New York, telephone (212) 526-2146),
advised he has known the candidate for ten years, and last saw
the candidate at a dinner at [redacted] house which the

candidate attended before he left for Germany. [redacted] described the candidate as very nice, knowledgeable, enjoyable to have around, friendly, and a responsible and reliable individual.

[redacted] advised the candidate has the highest integrity and morals, and is mentally and emotionally stable. [redacted] stated the candidate can maintain confidences and secrets, and can exercise appropriate discretion. [redacted] added the candidate is an honest man with an excellent reputation, both personally and professionally. [redacted] advised the candidate is loyal to the United States and has reputable and law abiding associates. [redacted] advised the candidate gets along well with others, and presents a professional appearance.

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[redacted] is unaware of any illegal drug use, alcohol abuse, or prescription drug abuse on the part of the candidate, and believes the candidate lives within his financial means. The candidate has never displayed any form of violent, irrational, or deviant behavior, and has a stable personality. [redacted] stated he is unaware of any details of any concealed conduct or activity on the part of the candidate which could be used to subject the candidate in any way to influence, pressure, coercion or compromise, and/or would impact negatively on the candidate's character, reputation, judgement or discretion.

[redacted] has never seen the candidate display any bias or prejudice towards any group or organization. MARTINEZ concluded by highly recommending the candidate for a position of trust and confidence with the United States government.

[redacted] Lehman Brothers 200 Vesey Street, New York, New York, telephone [redacted] advised he has known the candidate for ten years and first met the candidate while working at Lehman Brothers. [redacted] stated he has not seen the candidate since the candidate went to Germany. [redacted] described the candidate as fun loving, amusing, and deceptively smart and shrewd. [redacted] considers the candidate to be responsible and reliable with high integrity and morals. The candidate is mentally and emotionally stable, and can maintain confidences and secrets. [redacted] advised the candidate exercises appropriate discretion and is an honest man. [redacted] stated the candidate is loyal to the United States and has an excellent reputation.

[redacted] advised the candidate's associates are reputable and law abiding. The candidate gets along well with others, and is good at getting along well with others. [redacted] added that the candidate presents a professional appearance. [redacted] is unaware of any illegal drug use, alcohol abuse, or prescription drug abuse on the part of the candidate, and has a lifestyle that is consistent with his financial means. The candidate has never

161b-HQ-4612

displayed any irrational, deviant, or violent behavior, and has never displayed any bias or prejudice towards any group or organization. [redacted] stated the candidate has a stable personality. [redacted] is unaware of any details of any concealed activity or conduct which could be used in any way to subject the candidate to influence, pressure, coercion or compromise and /or would impact negatively on the candidate's character, reputation, judgement or discretion. [redacted] advised the candidate has a shrewd way to assess people and gain their confidence. [redacted] stated the candidate was very successful as an investment banker.

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[redacted] concluded by highly recommending the candidate for a position of trust and confidence with the United States government.

161B-HQ-4612
TS:ts

The following investigation was conducted by SA [redacted]
[redacted] regarding the candidate, RICHARD CHARLES ALBERT HOLBROOKE:

The following individuals were not aware of any details of any concealed activity or conduct on the part of the candidate which could be used in any way to subject the candidate to influence, pressure, coercion or compromise, and/or would impact negatively on the candidate's character, reputation, judgement or discretion.

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[redacted] Citizens Committee
of New York City, 305 7th Avenue, New York, New York, telephone
(212) 989-0909.

[redacted] The Council on Foreign
Relations, 58 East 68th Street, New York, New York, telephone
(212) 734-0400.

[redacted] International Rescue
Committee, 386 Park Avenue South, New York, New York, telephone
(212) 551-3000.

161B-HQ-4612
TS:ts

CREDIT CHECK:

City of New York
Department of Finance-Collection Division
25 Elm Place
Brooklyn, New York

The following investigation was conducted on July 12, 1994, by IA [redacted] regarding the candidate, RICHARD CHARLES ALBERT HOLBROOKE:

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According to the NYSSC-County Clerks Docket Division, New York County, the judgement concerning the candidate in New York City has not been resolved. The judgement was filed on 4/18/90 by the Department of Finance-Collection Division for the amount of \$8,539.74, and was issued to RICHARD CHARLES ALBERT HOLBROOKE, Social Security Account number: 132-32-3096. Warrant number B0359322.

161B-HQ-4612
TS:ts

MISCELLANEOUS - CREDIT CHECK - TAX MANAGER:

The following investigation was conducted on July 13, 1994, by SA [redacted] regarding the candidate, RICHARD CHARLES ALBERT HOLBROOKE:

[redacted] Mahoney, Cohen and Company, 111 W. 40th Street, New York, New York, telephone (212) 490-8000, was contacted regarding the tax lien in Sacramento, California, and the judgement in New York City concerning the candidate. [redacted] advised the candidate has resolved both of these matters and both amounts due have been paid in full.

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[redacted] advised the candidate paid the amount of \$124.14 on 9/17/91 in full payment of the balance due to the State of California, Franchise Tax Board, P.O. Box 2952, Sacramento, California for the tax year 1989. [redacted] provided a facsimile of a letter from the candidate's [redacted] to the State of California, Franchise Tax Board which refers to a check in the amount of \$124.15, which paid off the tax lien. [redacted] advised Mahoney, Cohen and Company has not received any further notification by the State of California, Franchise Tax Board regarding any amount due by the candidate.

[redacted] stated the candidate had a judgement in New York City for the year 1988. [redacted] advised the candidate received a notice and demand of payment from the City of New York, Department of Finance, on 1/17/90 for the amount of \$8,263.59. [redacted] advised the candidate paid the amount in full to the City of New York, Department of Finance, 25 Elm Place, Brooklyn, New York on 2/2/90. [redacted] provided a copy of the check written to the New York City Department of Finance in the amount of \$8,263.59.

[redacted] stated she did not know the reason the City of New York, Department of Finance-Collection Division currently has the candidate owing a balance due of \$8,539.74. [redacted] suggested that the amount paid by the candidate was never recorded by the Department of Finance. [redacted] advised Mahoney, Cohen and Company has not received any notification of any amount due from the candidate to the New York City Department of Finance. [redacted] stated she would contact the New York City, Department of Finance-Collection Agency, 25 Elm Place, Brooklyn, New York to resolve the discrepancy.

161B-HQ-4612
RE: HOLBROOKE
MFW:mfw

NEW YORK STATE DEPARTMENT OF MOTOR VEHICLES

On 7/13/94, the records of the NYS Department of Motor Vehicles were searched regarding the candidate, RICHARD CHARLES ALBERT HOLBROOKE and the following information was reported: THERE WAS NO RECORD OF THIS CANDIDATE. THIS CANDIDATE DOES NOT HAVE A VALID NEW YORK STATE DEPARTMENT OF MOTOR VEHICLES DRIVERS LICENSE.

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN BUREAU	DATE 7/12/94	INVESTIGATIVE PERIOD 7/5/94 - 7/12/94
TITLE OF CASE RICHARD CHARLES ALBERT HOLBROOKE		REPORT MADE BY SA 	TYPED BY: ts
		CHARACTER OF CASE SPIN	

REFERENCE:

Bureau airtel to NY dated 7/1/94, and Bureau facsimile to NY dated 7/1/94.

-P-

ADMINISTRATIVE:b6
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All persons interviewed were furnished the appropriate provisions of the Privacy Act of 1974. Express promises of confidentiality, both limited and unlimited have not been granted.

A review of the New York Office general indices revealed nothing positively identifiable to the candidate.

(Fax rec'd 7/12)

APPROVED <i>[Signature]</i> SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW			
COPIES MADE: ② - BUREAU (161B-HQ-4612) (ATTN: PSS) 1 - New York (161B-HQ-4612) CC DESTROYED <i>[Signature]</i>				
	<i>[Signature]</i> 3 <i>del</i>			
	DISSEMINATION RECORD OF ATTACHED REPORT			
Agency				Notations
Request Recd.				
Date Fwd.				
How Fwd.				
By				

161B-HQ-4612

LEADS:

1. Candidate's employment at Lehman Brothers; [redacted] b6
[redacted] Lehman Brothers, is currently out of town and b7C
will not return until 7/18/94. [redacted] will provide names of
coworkers who worked with candidate at Lehman Brothers.

2. Record check for further information regarding the New
York City Department of Finance judgement concerning the
candidate dated December 1990.

UNITED STATES DEPARTMENT OF JUSTICE
Federal Bureau of Investigation

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Copy to:

Report of:
Date:

SA [REDACTED]

July 12, 1994

Office: NEW YORK

Field Office File #: 161B-HQ-4612

Bureau File #: 161B-HQ-4612

Title: RICHARD CHARLES ALBERT HOLBROOKE

Character: SPIN

Synopsis:

Neighborhood verified. Organizations verified. DMV -
license suspended. Arrest check negative. United States
Attorney's Office - negative.

-P-

161B-HQ-4612
TS:ts

NEIGHBORHOOD:

[redacted]
New York, New York
August 1988 to September 1993

[redacted] The following investigation was conducted by SA [redacted]
[redacted] regarding the candidate, RICHARD CHARLES ALBERT
HOLBROOKE:

[redacted] [redacted]
[redacted] New York, telephone [redacted] advised the candidate
is her [redacted] stated that she and her husband have
rented the apartment since [redacted] but that neither she or
her husband know the candidate very well. [redacted] stated she
has only met the candidate once and has spoken with him on the
phone only once or twice. [redacted] stated she cannot comment on
the candidate because she does not really know the candidate, and
does not know much about the candidate. [redacted] noted that her
husband does not have much contact with the candidate either.
[redacted] stated when she and her husband moved into the apartment,
the apartment was nicely kept. [redacted] stated she pays the rent
to the [redacted]

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On 7/5/94, FEDERAL BUREAU of INVESTIGATION (FBI) cards
were left at the residents of Apartments 2, 3, and 4 at [redacted]
[redacted] New York, New York, but were met with negative
results.

161B-HQ-4612
TS:ts

EMPLOYMENT:

Lehman Brothers (aka Shearson Lehman Brothers)
200 Vesey Street
New York, New York
April 1985 to September 1993

[redacted] The following investigation was conducted by SA [redacted]
[redacted] regarding the candidate, RICHARD CHARLES ALBERT
HOLBROOKE:

On July 6, 1994, [redacted] of
Employee Records, Lehman Brothers, 200 Vesey Street, New York,
New York, telephone [redacted] verified the candidate's
employment as the Managing Director from 4/1/85 to 9/22/93.

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[redacted] Attempts were made to contact [redacted]
[redacted] Lehman Brothers, 200 Vesey Street, New York, New York,
telephone (212) 526-7200, from July 6, 1994 to July 11, 1994, but
were met with negative results. [redacted] is currently out of town
and will not return until 7/18/94. [redacted] will be able to provide
additional names of individuals at Lehman Brothers that worked
with the candidate during the above captioned time period.

161B-HQ-4612
TS:ts

ORGANIZATION:

Citizens Committee of New York City
305 7th Avenue
New York, New York
1992 to 1993

The following investigation was conducted by SA [redacted]
[redacted] on July 12, 1994, regarding the candidate, RICHARD CHARLES
ALBERT HOLBROOKE:

[redacted] Citizens Committee
of New York City, 305 7th Avenue, New York, New York, telephone
(212) 989-0909, advised the candidate was a member of the Board
of Directors for the Committee for two years. [redacted] stated the
candidate resigned from the Committee when he went to work for
the State Department. [redacted] advised a member must be an
outstanding New Yorker who is willing to work for the committee
and the city to help volunteer organizations throughout the city.
[redacted] advised there are 27 members on the Board, and the
organization does not restrict its membership or discriminate
based on sex, race, religion, national origin, age, or handicap.

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[redacted] has known the candidate for over two years and
described the candidate as smart, funny, pleasant, and easy to be
around. The candidate is responsible and reliable with the
highest integrity and morals. [redacted] advised the candidate is
mentally and emotionally stable and can maintain confidences and
secrets. The candidate exercises appropriate discretion and is
an honest person. [redacted] added the candidate takes honesty
seriously and has a sterling reputation. The candidate is very
highly thought of in the business world. [redacted] advised the
candidate gets along well with others, and displays a
professional appearance. [redacted] advised that one of the
candidate's strengths is an ability to hold his own in telling
you what he thinks, but at the same time handling it
diplomatically.

[redacted] advised the candidate's associates appear to be
reputable and law abiding, and the candidate is loyal to the
United States. [redacted] is unaware of any illegal drug use, alcohol
abuse, or prescription drug abuse on the part of the candidate.
The candidate appears to have a lifestyle that is consistent with
his financial means, and has never displayed any form of
irrational, violent, or deviant behavior. The candidate has a
stable personality, and has never displayed any bias or prejudice
towards any group or organization. [redacted] is unaware of anything
negative or derogatory regarding the candidate, and highly
recommended the candidate for a position of trust and confidence
with the United States Government.

161B-HQ-4612
TS:ts

ORGANIZATION:

The Council on Foreign Relations
58 East 68th Street
New York, New York
1992 to 1993

[redacted] The following investigation was conducted by SA [redacted]
[redacted] on July 11, 1994, regarding the candidate, RICHARD CHARLES
ALBERT HOLBROOKE:

[redacted] The Council on Foreign Relations, 58 East 68th Street, New York, New York, telephone (212) 734-0400, advised the candidate was a member on the board of Directors for the Council on Foreign Relations for the above captioned time period, and was a member of the Council for twenty years. [redacted] stated the candidate gave up his position for the Council on Foreign Relations when he became the Ambassador to Germany.

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[redacted] stated the organization was 2,500 members, and that in order to become a member a person has to be nominated by a current member and then voted in by the membership.

[redacted] advised the organization does not discriminate based on sex, race, religion, national origin, age or handicap.

[redacted] has known the candidate for a few years and described the candidate as an outstanding person in the community. The candidate is responsible and reliable, and his integrity and morals are without question. [redacted] advised the candidate is mentally and emotionally stable and can maintain confidences and secrets. The candidate exercises appropriate discretion and is an honest person. [redacted] stated the candidate has a very high reputation and is known as a hard charging guy who can accomplish things. [redacted] stated the candidate gets along well with others, and displays a professional appearance.

[redacted] advised the candidate's associates appear to be reputable and law abiding, and the candidate is loyal to the United States. [redacted] is unaware of any illegal drug use, alcohol abuse, or prescription drug abuse on the part of the candidate. The candidate appears to have a lifestyle that is consistent with his financial means, and has never displayed any form of irrational, violent, or deviant behavior. The candidate has a stable personality, and has never displayed any bias or prejudice towards any group or organization. [redacted] is unaware of anything negative or derogatory regarding the candidate, and highly recommended the candidate for a position of trust and confidence with the United States Government.

161B-HQ-4612
TS:ts

ORGANIZATION:

International Rescue Committee
386 Park Avenue South
New York, New York
1990 - 1994

The following investigation was conducted by Special Agent [redacted] on July 5, 1994, regarding the candidate, RICHARD CHARLES ALBERT HOLBROOKE:

[redacted] International Rescue Committee, 386 Park Avenue South, New York, New York, telephone (212) 551-3000, advised the candidate was a former member on the Board of Directors for the International Rescue Committee.

[redacted] stated the candidate has been a member since the 1980's and just recently resigned from the committee. As a matter of policy, the candidate resigned from the committee when the candidate started working for the government. [redacted] stated the committee helps refugees overseas and also helps those refugees who are admitted legally to the United States. [redacted] advised members names are proposed to the board, and the newly proposed member is then interviewed by those already on the board. [redacted] stated the board votes once a year to elect new members to the board. The only membership requirement to the board is an interest in refugees and an ability to be helpful to refugees. The board consists of 60 members, and does not have any restrictions to include race, sex, religion, national origin, age or handicap.

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[redacted] has known the candidate for ten years and described the candidate as an outgoing public figure who is highly regarded in all circles. [redacted] stated the candidate is responsible and reliable, with the highest morals and integrity. DEVECCHI advised the candidate is mentally and emotionally stable and can maintain confidences and secrets. The candidate exercises appropriate discretion, and is very honest. The candidate's reputation is excellent and he is very highly thought of in business, government, and diplomatic circles. [redacted] advised the candidate is loyal to the United States, and his associates are reputable and law abiding. The candidate gets along well with others and presents a professional appearance.

[redacted] is unaware of any illegal drug use, alcohol abuse or prescription drug abuse on the part of the candidate. [redacted] advised the candidate appears to live within his financial means, and has never displayed any form of irrational, deviant or violent behavior. The candidate has a stable

161B-HQ-4612

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personality and has never displayed any bias or prejudice towards any group or organization. [redacted] is unaware of anything negative or derogatory regarding the candidate, and highly recommended the candidate for a position of trust and confidence with the United States government.

161B-HQ-4612
RE: HOLBROOKE
MFW:mfw

NEW YORK STATE DEPARTMENT OF MOTOR VEHICLES

On 7/1/94 the records of the NYS Department of Motor Vehicles were searched regarding the candidate, RICHARD CHARLES ALBERT HOLBROOKE and the following information was reported; This candidate does NOT HAVE A VALID NYS DRIVERS LICENSE. HIS LICENSE WAS SUSPENDED ON 5/1/93 FOR FAILURE TO ANSWER SUMMONS, ORDER # T760934. NO FURTHER INFORMATION GIVEN.

161b-HQ-4612
BAA/baa

ARREST

A review of the records of the NYCPD on 7/7/94 by IA [REDACTED], met with negative results on the following:

RICHARD CHARLES ALBERT HOLBROOKE. [REDACTED]

[REDACTED] **STANLEY KEARL, and TRUDI
HOLBROOKE KEARL.**

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161B-HQ-4612
RE: HOLBROOKE
MFW:mfw

UNITED STATES ATTORNEYS OFFICE
SOUTHERN CRIMINAL & CIVIL. EASTERN CRIMINAL & CIVIL

On July 1, 1994, the records of the United States Attorneys Office was searched concerning the candidate RICHARD CHARLES ALBERT HOLBROOKE. There was no record found regarding the candidate in any of the four districts.

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW HAVEN	OFFICE OF ORIGIN BUREAU	DATE 7/11/94	INVESTIGATIVE PERIOD 7/7/94
TITLE OF CASE RICHARD CHARLES ALBERT HOLBROOKE		REPORT MADE BY IA 	TYPED BY: cah
		CHARACTER OF CASE SPECIAL INQUIRY	

REFERENCE:

Bureau "fax" communication, 7/1/94.

- RUC -

ADMINISTRATIVE:

All persons interviewed were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality have not been granted.

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New Haven Office indices were searched and proved negative for appointee.

APPROVED LCU / R SPECIAL AGENT IN CHARGE COPIES MADE: ② - Bureau (161B-HQ-4612) (ATTN: PSS) SPIN UNIT ROOM 4371) 2 - New Haven (161B-HQ-4612) CC DESTROYED	DO NOT WRITE IN SPACES BELOW <table border="1" style="width: 100%; height: 150px; border-collapse: collapse;"> <tr><td style="width: 25%;"></td><td style="width: 25%;"></td><td style="width: 25%;"></td><td style="width: 25%;"></td></tr> <tr><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td></tr> </table> LM' 4371																															
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By																																

UNITED STATES DEPARTMENT OF JUSTICE
Federal Bureau of Investigation

Copy to:

Report of:
Date:IA [REDACTED]
July 11, 1994

Office: NEW HAVEN

Field Office File #:

161B-HQ-4612

Bureau File #:

161B-HQ-4612

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b7c

Title:

RICHARD CHARLES ALBERT HOLBROOKE

Character:

SPECIAL INQUIRY

Synopsis:

Arrest and U.S. Attorney's Office checks conducted and negative.

- RUC -

DETAILS:Arrest

On July 7, 1994, [REDACTED]
Records Division, New Milford, Connecticut, Police Department,
advised she could locate no record identifiable with the appoint-
ee.

Miscellaneous

On July 7, 1994 [REDACTED] United States Attor-
ney's Office, District of Connecticut, New Haven, Connecticut,
advised that a review of her records did not locate any prosecu-
tive action (civil or criminal) in closed or current files
involving the appointee.

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE DENVER	OFFICE OF ORIGIN BUREAU	DATE 7/8/94	INVESTIGATIVE PERIOD 7/5 - 7/6/94
TITLE OF CASE RICHARD CHARLES ALBERT HOLBROOKE		REPORT MADE BY IA 	TYPED BY: ecv
		CHARACTER OF CASE SPIN	

BUDED: 7/13/94REFERENCE: Bureau letter to Denver, dated 7/5/94.

- RUC -

ADMINISTRATIVE:b6
b7c

All persons interviewed were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality have not been granted.

On July 6, 1994, Denver Division's General and FOIMS indices were searched with negative results regarding the appointee.

(Fax rec'd 7/8)

APPROVED <i>g/c</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW						
COPIES MADE: ② - BUREAU (161B-HQ-4612) ATTN: PSS SPIN UNIT, ROOM 4371. 2 - DENVER (161B-HQ-4612) CC DESTROYED								
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DISSEMINATION RECORD OF ATTACHED REPORT		Notations						
Agency								
Request Recd.								
Date Fwd.								
How Fwd.								
By								

UNITED STATES DEPARTMENT OF JUSTICE
Federal Bureau of Investigation

Copy to:

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Report of:
Date:

IA [REDACTED]
July 8, 1994

Office: Denver

Field Office File #: 161B-HQ-4612

Bureau File #: 161B-HQ-4612

Title: RICHARD CHARLES ALBERT HOLBROOKE

Character: SPECIAL INQUIRY

Synopsis: Arrest checks were conducted regarding the appointee. A review of records at the United States Attorney's Office, Denver, Colorado were conducted regarding appointee.

- RUC -

DETAILS:

DN 161B-HQ-4612
ECV/ecv

- 1 -

LAW ENFORCEMENT AGENCY CHECKS

The following investigation was conducted by
Investigative Assistant (IA) [REDACTED]

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On July 6, 1994, [REDACTED] SAN
MIGUEL SHERIFF'S OFFICE, San Miguel, Colorado (County which
covers Telluride, Colorado) advised the records at her agency did
not contain any identifiable information relative to the
appointee, RICHARD CHARLES ALBERT HOLBROOKE, date of birth April
24, 1941.

On July 6, 1994, personnel at the COLORADO BUREAU OF
INVESTIGATION, Lakewood, Colorado reviewed their records in order
to determine if RICHARD CHARLES ALBERT HOLBROOKE, date of birth
April 24, 1941 possesses a Colorado criminal record or is
currently wanted by any Colorado law enforcement agency, and the
results were negative.

- 2 -

DN 161B-HQ-4612
ECV/ecv

- 1 -

MISCELLANEOUS

The following investigation was conducted by
Investigative Assistant (IA) [REDACTED]

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On July 5, 1994 [REDACTED] UNITED
STATES ATTORNEY'S OFFICE, Denver, Colorado reviewed the records
at her agency for any identifiable information relative to the
appointee, RICHARD CHARLES ALBERT HOLBROOKE, date of birth April
24, 1941. The records did not contain any information.

- 3* -

RECEIVED
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7 JUL 94 17 56

FEDERAL BUREAU
OF INVESTIGATION

Dep. Dir.	_____
ADD Adm.	_____
ADD Inv.	_____
Asst. Dir.:	_____
Adm. Serv.	_____
Crim. Inv.	_____
Ident.	_____
Intell. Mgmt.	_____
Insp.	_____
Intell.	_____
Lab.	_____
Legal Coun.	_____
Tech. Serv.	_____
Training	_____
Comp. Affs. Off.	_____
Off. of EEO	_____
Off. of Liaison & Int. Affs.	_____
Off. of Public Affs.	_____
Telephone Rm.	_____
Director's Office	_____

0130 MRI 00848

PP RUCNFB

DE BON #0003 1881530

ZNR UUUUU

P 071514Z JUL 94

FM LEGAT BONN (161B-HQ-4612) (P)

TO DIRECTOR FBI/PRIORITY/

BT

UNCLAS

SECTION ONE OF TWO SECTIONS

CITE: //5300:BON537.188//

PASS: FBIHQ, ATTN: [REDACTED] SPIN UNIT; LIAS, FLU I.

SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE; SPIN; OO: FBIHQ;

BUDED 7/13/94.

RE FBIHQ FAX OF 7/5/94 AND BNTEL OF 7/5/94, BOTH
CAPTIONED AS ABOVE.

ON 7/6/94, [REDACTED]

DOB [REDACTED]

[REDACTED]
[REDACTED] TELEPHONE NUMBER [REDACTED]

WAS INTERVIEWED

CONCERNING CAPTIONED APPLICANT. THE PROVISIONS OF THE PRIVACY

7/14: Per conversation with ALAT [REDACTED] the two persons
who requested confidentiality should be treated as
T-symbols.

CC DESTROYED

PAGE TWO DE BDN 0003 UNCLAS

ACT WERE EXPLAINED TO [REDACTED] AND HE REQUESTED CONFIDENTIALITY
FOR HIS STATEMENT.

[REDACTED] HAS KNOWN APPLICANT SINCE APPLICANT ARRIVED IN
[REDACTED]

NOT PREVIOUSLY KNOW THE APPLICANT. [REDACTED] DESCRIBED THE
APPLICANT AS HIGHLY INTELLIGENT, DEDICATED, ENERGETIC AND
FULLY ENGAGED IN HIS WORK. SINCE APPLICANT IS UNACCOMPANIED

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[REDACTED] IS UNAWARE OF APPLICANT'S FAMILY STATUS,
EXCEPT THAT APPLICANT IS EITHER SEPARATED OR DIVORCED, AND MAY
HAVE AT LEAST ONE SON. [REDACTED] HAS HEARD A RUMOR THAT
[REDACTED]

[REDACTED] REPEATEDLY STRESSED THAT
THIS IS ONLY A RUMOR AND HE HAS NO CORROBORATING INFORMATION.
HE HAS NO INFORMATION CONCERNING APPLICANT'S PERSONAL LIFE
THAT COULD BE USED TO COERCE APPLICANT OR EMBARRASS THE
GOVERNMENT.

[REDACTED] IS NOT AWARE OF ANY COMPLAINTS OR DISCIPLINARY
ACTIONS TAKEN AGAINST APPLICANT, NOR OF ANY BUSINESS OR
INVESTMENT MATTERS THAT COULD INVOLVE A CONFLICT OF INTEREST.

[REDACTED] IS NOT AWARE OF ANY TYPE OF COUNSELING IN WHICH THE
APPLICANT HAS BEEN INVOLVED. HE ALSO HAS NO INFORMATION THAT

PAGE THREE DE BON 0003 UNCLAS

APPLICANT HAS EVER BEEN DENIED EMPLOYMENT, BEEN CHARGED WITH A CRIMINAL OFFENSE, BEEN ARRESTED, OR BEEN PARTY TO A CIVIL SUIT. [] KNOWS OF NO BUSINESS OR CREDIT ISSUES THAT WOULD REFLECT UNFAVORABLY ON APPLICANT. [] DESCRIBED APPLICANT AS VERY PROFESSIONAL, []

AMERICAN COMMUNITIES, AND OF VERY GOOD CHARACTER. AS ANBASSADOR, APPLICANT HAS WIDE-RANGING CONTACTS WITH GOVERNMENTAL, BUSINESS, COMMERCIAL AND DIPLOMATIC PERSONALITIES, BUT [] IS UNAWARE OF ANY CONTACTS WITH INDIVIDUALS OR ORGANIZATIONS OUTSIDE OR BEYOND THE SCOPE OF APPLICANT'S OFFICIAL DUTIES [] HAS NO INFORMATION ON PRESCRIPTION DRUG OR ALCOHOL ABUSE OR ILLEGAL DRUG USAGE. IN

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FACT, [] DESCRIBES HIM AS A PERSON WHO DRINKS VERY LITTLE. [] IS NOT FAMILIAR WITH APPLICANT BEING A MEMBER OF ANY ORGANIZATION THAT RESTRICTS MEMBERSHIP ON THE BASIS OF SEX, RACE, RELIGION OR NATIONAL ORIGIN. [] ADVISED HE POSSESSES NO INFORMATION THAT WOULD REFLECT UNFAVORABLY ON APPLICANT OR HAVE A BEARING ON HIS SUITABILITY FOR FEDERAL EMPLOYMENT.

[] OPINED APPLICANT IS HIGHLY QUALIFIED FOR THE POSITION

PAGE FOUR DE BON 0003 UNCLAS

FOR WHICH HE IS BEING CONSIDERED AND [] WOULD RECOMMEND
APPLICANT FOR A POSITION OF TRUST WITH THE FEDERAL GOVERNMENT.

(2)

ON 7/6/94 []

DOB []

[] TELEPHONE NUMBER

[] WAS INTERVIEWED CONCERNING CAPTIONED
APPLICANT. THE PROVISIONS OF THE PRIVACY ACT WERE EXPLAINED
TO [] WHO DID NOT REQUEST CONFIDENTIALITY.

[] HAS ONLY KNOWN THE APPLICANT SINCE HIS ARRIVAL IN
GERMANY AS THE U.S. AMBASSADOR. [] DESCRIBED APPLICANT AS
ENERGETIC, DETERMINED, VERY SERIOUS AND A GOOD-OLD-FASHIONED
PUBLIC SERVANT. [] IS AWARE APPLICANT IS DIVORCED AND HAS
TWO SONS, BUT [] HAS NO INFORMATION CONCERNING APPLICANT'S
FAMILY LIFE.

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[] IS UNAWARE OF ANY DETAILS OF APPLICANT'S PERSONAL
LIFE THAT COULD BE USED TO COERCE HIM OR EMBARRASS THE
GOVERNMENT. [] IS NOT AWARE OF ANY COMPLAINTS OR
DISCIPLINARY ACTION TAKEN AGAINST APPLICANT, OR OF ANY
BUSINESS OR INVESTMENT MATTERS THAT COULD INVOLVE A CONFLICT
OF INTEREST. [] KNOWS OF NO COUNSELING THE APPLICANT HAS
EVER UNDERGONE, NOR DOES [] POSSESS ANY INFORMATION THAT
APPLICANT HAS EVER BEEN DENIED EMPLOYMENT, HAS EVER BEEN

PAGE FIVE DE BON 0003 UNCLAS

ARRESTED, OR HAS EVER BEEN A PARTY IN A CIVIL SUIT.

[] KNOWS OF NO BUSINESS OR CREDIT MATTERS THAT WOULD REFLECT UNFAVORABLY ON APPLICANT. APPLICANT HAS A VERY GOOD REPUTATION AND ASSOCIATES WITH HIGHLY ESTEEMED PERSONS WHO HOLD APPLICANT IN HIGH REGARD. AS AMBASSADOR, APPLICANT HAS NUMEROUS CONTACTS WITH GOVERNMENT, DIPLOMATIC AND BUSINESS LEADERS, BUT NONE OF THESE CONTACTS GO BEYOND THE NORMAL SCOPE OF APPLICANT'S OFFICIAL DUTIES AS FAR AS [] IS AWARE.

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[] KNOWS OF NO PRESCRIPTION DRUG OR ALCOHOL ABUSE OR ILLEGAL DRUG USE BY APPLICANT, NOR IS APPLICANT A MEMBER OF ANY ORGANIZATION THAT RESTRICTS MEMBERSHIP ON THE BASIS OF SEX, RACE, RELIGION OR NATIONAL ORIGIN.

[] REPORTED HE KNOWS OF NOTHING THAT WOULD REFLECT UNFAVORABLY ON APPLICANT OR HAVE ANY BEARING ON HIS SUITABILITY FOR FEDERAL EMPLOYMENT. [] DESCRIBED APPLICANT AS EXTREMELY LOYAL TO THE U.S. GOVERNMENT AND [] WOULD HIGHLY RECOMMEND APPLICANT FOR A POSITION OF TRUST WITH THE U.S. GOVERNMENT.

(3)

ON 7/7/94, []

DOB []

[] TELEPHONE NUMBER []

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PAGE SIX DE BON 0003 UNCLAS

[REDACTED] WAS INTERVIEWED CONCERNING CAPTIONED
APPLICANT. THE PROVISIONS OF THE PRIVACY ACT WERE EXPLAINED
TO [REDACTED] WHO REQUESTED CONFIDENTIALITY FOR HIS STATEMENT.

[REDACTED]
[REDACTED] WHEN [REDACTED]
[REDACTED]

[REDACTED] DESCRIBED THE APPLICANT AS INTELLIGENT,
CREATIVE, ENERGETIC, WITH A GOOD UNDERSTANDING OF FOREIGN
POLICY, EXPERIENCED IN THE WORKINGS OF GOVERNMENT IN
WASHINGTON, D.C., A DECISION IMPLEMENTOR, GOOD AT PUBLIC
PRESENTATIONS, AND WITH A GOOD UNDERSTANDING OF WHAT IS AND
WHAT IS NOT IMPORTANT.

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[REDACTED] KNOWS LITTLE ABOUT APPLICANT'S FAMILY LIFE, EXCEPT
THAT HE HAS BEEN MARRIED TWICE, HAS TWO SONS, AND HAS A LADY
FRIEND WHO [REDACTED] HAS NOT MET. [REDACTED] IS NOT AWARE OF
ANYTHING THAT COULD BE USED TO COERCE APPLICANT OR THAT WOULD
EMBARRASS THE U.S. GOVERNMENT. [REDACTED] STATED APPLICANT DID
NOT ACCEPT THE POSITION OF AMBASSADOR TO FURTHER HIS OWN
AGENDA. APPLICANT IS ETHICAL, LIKES TO SEE RESULTS, AVOIDS

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0131 MRI 00849

PP RUCNFB

DE BON #0004 1881531

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P 071514Z JUL 94

FM LEGAT BONN (161B-HQ-4612) (P)

TO DIRECTOR FBI/PRIORITY/

BT

UNCLAS

SECTION TWO OF TWO SECTIONS

CITE: //5300:BON537.188//

PASS: FBIHQ, ATTN: [REDACTED] PIN UNIT; LIAS, FLU I.

SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE; SPIN; OO: FBIHQ;
BUDED 7/13/94.

TEXT CONTINUES:

CONFLICTS OF INTEREST AND HAS DONE NOTHING IMPROPER AS
AMBASSADOR. APPLICANT IS SOMETIMES A BIT UNORTHODOX AND DOES
NOT AVOID CONTROVERSY, BUT [REDACTED] IS UNAWARE OF ANY
PROFESSIONAL COMPLAINTS OR DISCIPLINARY ACTION TAKEN AGAINST
APPLICANT. [REDACTED] REPORTED APPLICANT WOULD PROBABLY NOT MAKE

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PAGE TWO DE BON 0004 UNCLAS

A GOOD ACCOUNTANT AND HIS BOOKKEEPING MIGHT BE A TAD SLOPPY, BUT HE EMPLOYS OTHER PEOPLE TO HANDLE SUCH MATTERS.

[REDACTED] IS NOT AWARE OF APPLICANT HAVING EVER UNDERGONE ANY COUNSELING, BEEN DENIED EMPLOYMENT, BEEN ARRESTED OR CHARGED WITH A CRIMINAL OFFENSE, OR EVER BEING A PARTY TO A CIVIL SUIT. [REDACTED] KNOWS OF NO BUSINESS OR CREDIT MATTERS THAT WOULD REFLECT UNFAVORABLY ON APPLICANT. [REDACTED] DESCRIBED APPLICANT AS AN EFFECTIVE LEADER WHO GETS THINGS DONE, WHO WORKS TOWARD SPECIFIC OBJECTIVES, IS DEMANDING, NOT ALWAYS WELL ORGANIZED IN THE CLASSICAL SENSE BUT KEEPS A LOT OF PROJECTS GOING SIMULTANEOUSLY, ACCEPTS CRITICISM AND HAS A SENSE OF HUMOR. APPLICANT HAS A BROAD RANGE OF FRIENDS AND ASSOCIATES IN THE HIGHEST LEVELS OF GOVERNMENT, INVESTMENT, INDUSTRY, AND THE ART WORLD, WITH A FONDNESS FOR MODERN ART.

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AS AMBASSADOR, APPLICANT HAS HAD WIDE-RANGING CONTACTS IN GERMANY, BUT NOTHING OF WHICH [REDACTED] IS AWARE THAT GO BEYOND THE SCOPE OF HIS DUTIES AS AMBASSADOR. [REDACTED] IS UNAWARE OF ANY PRESCRIPTION DRUG OR ALCOHOL ABUSE OR ILLEGAL DRUG USE ON THE PART OF APPLICANT. [REDACTED] DESCRIBED APPLICANT AS A VERY MODERATE DRINKER. APPLICANT HAS NO MEMBERSHIP IN ANY ORGANIZATION THAT RESTRICTS MEMBERSHIP ON THE BASIS OF SEX,

PAGE THREE DE BON 0004 UNCLAS

RACE, RELIGION, OR NATIONAL ORIGIN OF WHICH [REDACTED] IS AWARE.

[REDACTED] CHARACTERIZED APPLICANT AS COMPLETELY LOYAL TO THE
U.S. GOVERNMENT. [REDACTED] IS UNAWARE OF ANY INFORMATION THAT
WOULD REFLECT UNFAVORABLY ON APPLICANT'S SUITABILITY FOR
FEDERAL EMPLOYMENT OR ACCESS TO CLASSIFIED INFORMATION.

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[REDACTED] WOULD RECOMMEND APPLICANT FOR A POSITION OF TRUST WITH
THE U.S. GOVERNMENT.

.BT

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PP RUCNFB

DE BON #0001 1861502

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P 051500Z JUL 94

FM LEGAT BONN (1618-HQ-4612) (P)

TO DIRECTOR ~~FBI/PRIORITY/~~

BT

UNCLAS E F T O

SECTION ONE OF TWO SECTIONS

CITE: //5300:BON526.186//

PASS: FBIHQ, ATTN: SPIN UNIT; LIAS, FLU I.

SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE; SPIN; OO: FBIHQ;

BUDED: 7/13/94.

RE FBIHQ FAX OF 7/5/94.

REQUEST OF THE BUREAU:

UACB, FOR REASONS SET OUT BELOW, BONN DOES NOT INTEND TO
CONDUCT CRIMINAL AND SECURITY CHECKS CONCERNING APPLICANT.

DETAILS:

ON 7/1/94, LEGAT CONTACTED AMBASSADOR RICHARD C.

Dep. Dir.	
ADD Adm.	
ADD Inv.	
Asst. Dir.:	
Adm. Serv.	
Crim. Inv.	
Ident.	
Info. Mgmt.	
Insp.	
Intell.	
Lab.	
Legal Coun.	
Tech. Serv.	
Training	
Comp. Affs. Off.	
Off. of ESO	
Off. Liaison & Int. Affs.	
Off. of Public Affs.	
Telephone Rm.	
Director's Office	

① 44371
② 74458

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Det

CC 74458

CC DESTROYED

PAGE TWO DE BON 0001 UNCLAS E F T O

HOLBROOKE AT HIS RESIDENCE. AMBASSADOR HOLBROOKE PROVIDED THE FOLLOWING INFORMATION.

HE HAS FULLY AND ACCURATELY COMPLETED THE SF-86 AND SF-86 SUPPLEMENT. THE LATTER FORM WAS SUBMITTED TO THE DEPARTMENT OF STATE BY DHL OVERNIGHT MAIL ON OR ABOUT 6/29/94.

HE HAS NEVER ENGAGED IN ANY ABUSE OF ALCOHOL OR DRUGS. HE HAS NO PERSONAL OR BUSINESS CREDIT PROBLEMS, HAS NEVER TAKEN OUT BANKRUPTCY AND HAS NO PROBLEM DEBTS. HE IS NOT THE OBJECT OF ANY CIVIL SUITS IN EITHER A PERSONAL OR OFFICIAL CAPACITY.

HE HAS NEVER HAD ANY CRIMINAL CHARGES FILED AGAINST HIM, NOR HAS HE BEEN ARRESTED OR CONVICTED OF A CRIME. HE HAS NEVER PARTICIPATED IN ANY CRIMINAL ACTIVITIES.

HE HAS NEVER BEEN DENIED EMPLOYMENT OR DISMISSED FROM A JOB.

AS AN AMBASSADOR, HE IS IN CONSTANT CONTACT WITH REPRESENTATIVES OF FOREIGN GOVERNMENTS. NONE OF THESE CONTACTS HAVE GONE BEYOND THE BOUNDARIES OF HIS RESPONSIBILITIES, NOR HAS HE MAINTAINED ANY PERSONAL OR INTIMATE CONTACTS WITH NATIONALS OF COUNTRIES WHO ARE OR MAY BE HOSTILE TO THE UNITED STATES.

PAGE THREE DE 80N 0001 UNCLAS E F T O

HE HAS NEVER HAD ANY PROFESSIONAL COMPLAINTS FILED AGAINST HIM, BEEN THE OBJECT OF ANY DISCIPLINARY ACTION, OR BEEN NAMED IN ANY EEO COMPLAINT. IN FACT, HE BELIEVES HIS RECORD ON EEO MATTERS TO BE EXEMPLARY, EXTENDING BACK THROUGHOUT HIS PROFESSIONAL LIFE, AND WELL BEFORE THE TIME SUCH MATTERS RECEIVED THE ATTENTION THEY DO TODAY.

HE DOES NOT BELIEVE HE HAS ANY TYPE OF BUSINESS OR INVESTMENT CIRCUMSTANCES WHICH COULD INVOLVE A CONFLICT OF INTEREST WITH EMPLOYMENT BY THE U.S. GOVERNMENT. HIS INVESTMENT PORTFOLIO IS UNDER HIS CONTROL AND NOT IN A BLIND TRUST. HOWEVER, IT HAS BEEN REVIEWED BY THE LEGAL SECTION OF THE DEPARTMENT OF STATE AND NONE OF HIS INVESTMENTS OR HIS CONTROL OF THEM HAVE BEEN FOUND TO REPRESENT A CONFLICT OF INTEREST. SHOULD THIS ASSESSMENT CHANGE BECAUSE OF HIS NEW POSITION, HE WILL TAKE IMMEDIATE CORRECTIVE ACTION.

HE HAS NEVER RECEIVED PSYCHOLOGICAL OR PSYCHIATRIC COUNSELING OR TREATMENT, NOR HAS HE EVER BEEN COUNSELED BY A MENTAL HEALTH OR SOCIAL WORKER.

HE HAS NEVER BELONGED TO ANY GROUP OR ORGANIZATION THAT RESTRICTS MEMBERSHIP ON THE BASIS OF RACE, SEX, COLOR,

PAGE FOUR DE BON. 0001 UNCLAS E F T O

RELIGION OR NATIONAL ORIGIN. HE NEVER WOULD CONSIDER JOINING AN ORGANIZATION WHICH HAS SUCH RESTRICTIONS.

HE IS NOT CONCEALING ANY ACTIVITIES OR CONDUCT WHICH COULD BE USED TO COMPROMISE HIM IN ANY WAY.

TO THE BEST OF HIS KNOWLEDGE HE HAS PAID ALL FEDERAL, STATE AND LOCAL TAXES OWED BY HIM. HE HAS NOT MADE OR NEEDED TO MAKE ANY BACK PAYMENTS, OTHER THAN THOSE FOR WHICH HE HAS FILED REQUESTS FOR EXTENSION OF INCOME TAX PAYMENTS AS AUTHORIZED FOR PERSONS RESIDING ABROAD. HE DOES NOT NOW HAVE, NOR HAS HE EVER HAD, ANY RESPONSIBILITY FOR FILING BACK MEDICARE, SOCIAL SECURITY OR UNEMPLOYMENT TAXES.

IN CONCLUSION, THERE ARE NO CIRCUMSTANCES KNOWN TO HIM WHICH WOULD HAVE A BEARING UPON HIS SUITABILITY TO BE APPOINTED TO A POSITION OF TRUST IN THE GOVERNMENT, NOR HAS THERE BEEN ANY SIGNIFICANT CHANGE IN HIS STATUS SINCE FILING ALL THE NECESSARY BACKGROUND FORMS AT THE TIME OF HIS SENATE CONFIRMATION HEARINGS TO BECOME AMBASSADOR TO BONN.

ON 7/1/94, LEGAT CONTACTED [REDACTED] WHEN SHE WAS EXPLAINED THE PROVISIONS OF THE PRIVACY ACT, SHE DID NOT REQUEST CONFIDENTIALITY. SHE ADVISED THAT SHE HAS KNOWN AMBASSADOR HOLBROOKE SINCE SHE COMMENCED WORK FOR HIM AS

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PAGE FIVE DE BON 0001 UNCLAS E F T O.

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[REDACTED] SINCE THAT TIME, SHE HAS WORKED TOGETHER WITH HIM VERY INTENSELY, AND BELIEVES SHE KNOWS HIM WELL ENOUGH TO COMMENT KNOWLEDGEABLY ABOUT THE FOLLOWING ISSUES.

TO THE BEST OF HER KNOWLEDGE, HE HAS FULLY AND ACCURATELY COMPLETED THE SF-86 AND THE SF-86 SUPPLEMENT. THE LATTER FORM WAS SUBMITTED BY HER TO THE DEPARTMENT OF STATE BY DHL OVERNIGHT MAIL ON OR ABOUT 6/29/94.

SHE HAS NEVER SEEN HIM OR SUSPECTED HIM OF ENGAGING IN ANY ABUSE OF ALCOHOL OR DRUGS. HE HAS NO PERSONAL OR BUSINESS CREDIT PROBLEMS, HE HAS NEVER TAKEN OUT BANKRUPTCY AND HAS NO PROBLEM DEBTS. HE IS NOT THE OBJECT OF ANY CIVIL SUITS IN EITHER A PERSONAL OR OFFICIAL CAPACITY.

TO HER KNOWLEDGE, HE HAS NEVER HAD ANY CRIMINAL CHARGES FILED AGAINST HIM, NOR HAS HE BEEN ARRESTED OR CONVICTED OF A CRIME. HE HAS NEVER PARTICIPATED IN ANY CRIMINAL ACTIVITIES.

HE HAS NEVER MENTIONED TO HER THAT HE HAD BEEN DENIED EMPLOYMENT OR DISMISSED FROM A JOB.

AS AN AMBASSADOR, HE IS IN CONSTANT CONTACT WITH REPRESENTATIVES OF FOREIGN GOVERNMENTS. TO THE BEST OF HER

PAGE SIX DE BON 0001 UNCLAS E F T O

KNOWLEDGE, NONE OF THESE CONTACTS HAVE GONE BEYOND THE BOUNDARIES OF HIS RESPONSIBILITIES, NOR HAS HE MAINTAINED ANY PERSONAL OR INTIMATE CONTACTS WITH NATIONALS OF COUNTRIES WHO ARE OR MAY BE HOSTILE TO THE UNITED STATES.

TO THE BEST OF HER KNOWLEDGE, HE HAS NEVER HAD ANY PROFESSIONAL COMPLAINTS FILED AGAINST HIM, BEEN THE OBJECT OF ANY DISCIPLINARY ACTION, OR BEEN NAMED IN ANY EEO COMPLAINT. SHE HAS OBSERVED NO BEHAVIOR ON HIS PART WHICH WOULD CAUSE HER TO BELIEVE ANY COMPLAINT, DISCIPLINARY ACTION, OR EEO MATTER WOULD BE JUSTIFIED.

SHE DOES NOT BELIEVE HE HAS ANY TYPE OF BUSINESS OR INVESTMENT CIRCUMSTANCES WHICH COULD INVOLVE A CONFLICT OF INTEREST WITH EMPLOYMENT BY THE U.S. GOVERNMENT. HIS INVESTMENT PORTFOLIO HAS BEEN REVIEWED BY THE LEGAL SECTION OF THE DEPARTMENT OF STATE AND NONE OF HIS INVESTMENTS OR HIS CONTROL OF THEM HAVE BEEN FOUND TO REPRESENT A CONFLICT OF INTEREST.

TO THE BEST OF HER KNOWLEDGE, HE HAS NEVER RECEIVED

BT

#0001

NNNN

0054 MRI 00695

PP RUCNFB

DE BON #0002 1861507

ZNY EEEEE

P 051500Z JUL 94

FM LEGAT BONN (161B-HQ-4612) (P)

TO DIRECTOR FBI/PRIORITY/

BT

UNCLAS E F T O

SECTION TWO OF TWO SECTIONS

CITE: //5300:BON526.186//

PASS: FBIHQ, ATTN: SPIN UNIT; LIAS, FLU I.

b6
b7C

SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE; SPIN; DO: FBIHQ;

BUDED: 7/13/94.

TEXT CONTINUES:

PSYCHOLOGICAL OR PSYCHIATRIC COUNSELING OR TREATMENT, NOR HAS HE EVER BEEN COUNSELED BY A MENTAL HEALTH OR SOCIAL WORKER, NOR HAS SHE OBSERVED ANY BEHAVIOR SUGGESTING SUCH COUNSELING OR TREATMENT WOULD BE NECESSARY.

TO THE BEST OF HER KNOWLEDGE, HE DOES NOT NOW, NOR HAS HE

PAGE TWO DE BON 0002 UNCLAS E F T O

EVER BELONGED TO ANY GROUP OR ORGANIZATION THAT RESTRICTS MEMBERSHIP ON THE BASIS OF RACE, SEX, COLOR, RELIGION OR NATIONAL ORIGIN.

SHE DOES NOT BELIEVE THAT HE IS OR MIGHT BE CONCEALING ANY ACTIVITIES OR CONDUCT WHICH COULD BE USED TO COMPROMISE HIM IN ANY WAY.

TO THE BEST OF HER KNOWLEDGE, HE HAS PAID ALL FEDERAL, STATE AND LOCAL TAXES OWED BY HIM. HE HAS NOT MADE OR NEEDED TO MAKE ANY BACK PAYMENTS FOR BACK MEDICARE, SOCIAL SECURITY OR UNEMPLOYMENT TAXES.

SHE NOTED THAT AMBASSADOR HOLBROOKE HAD BEEN PARTICULARLY EFFECTIVE IN SAVING MONEY IN EMBASSY OPERATIONS THROUGH DOWNSIZING AND BY CLAIMING ACTUAL EXPENSES FOR TRAVEL RATHER THAN THE FULL PER DIEM RATES.

IN CONCLUSION, THERE ARE NO CIRCUMSTANCES KNOWN TO HER WHICH WOULD HAVE AN ADVERSE BEARING UPON HIS SUITABILITY TO BE APPOINTED TO A POSITION OF TRUST IN THE GOVERNMENT, AND SHE CONSIDERS HIM HIGHLY-QUALIFIED AND RECOMMENDS HIM FOR A POSITION OF TRUST AND SENIOR MANAGEMENT WITH THE GOVERNMENT OF THE UNITED STATES. (1)

BONN NOTES THAT APPLICANT IS THE AMBASSADOR OF THE UNITED

PAGE THREE DE BON 0002 UNCLAS E F T O

STATES IN GERMANY. AS SUCH, HE IS CONSTANTLY PROTECTED BY GERMAN POLICE WHEN OUTSIDE HIS RESIDENCE. UNDER THESE CIRCUMSTANCES, IT IS NEARLY IMPOSSIBLE FOR HIM TO HAVE ENGAGED IN CRIMINAL ACTIVITY OR ACTIVITIES OF A QUESTIONABLE SECURITY NATURE WITHOUT IT HAVING BEEN DETECTED AND REPORTED AT THE TIME. IN ADDITION, BONN NOTES THAT CRIMINAL AND SECURITY CHECKS NORMALLY TAKE FROM 45 TO 90 DAYS. GIVEN THE CIRCUMSTANCES, UACB, BONN DOES NOT INTEND TO SUBMIT REQUESTS FOR CRIMINAL AND SECURITY CHECKS WITH THE LOCAL LIAISON SERVICES.

RESULTS OF ADDITIONAL INTERVIEWS TO FOLLOW AS COMPLETED.

BT

#0002

NNNN

**IMPORTANT
AND URGENT**



FBI FACSIMILE COVERSHEET

CLASSIFICATION

PRECEDENCE

- ☐ Immediate
☒ Priority
☐ Routine

- ☐ Top Secret
☐ Secret
☐ Confidential
☐ Sensitive
☒ Unclassified

Time Transmitted: _____

Sender's Initials: _____

Number of Pages: 3

To: FBI NY
(Name of Office)

Date: 7-5-94

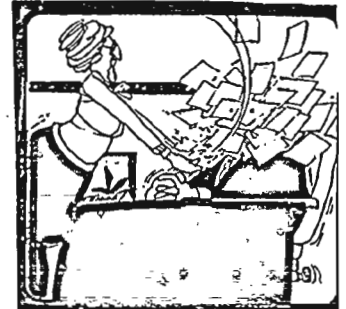
Facsimile number: _____

Attn: 161 Supervisor
(Name Room Telephone No.)

From: SPIN Unit - FBIHQ
(Name of Office)

Subject: Richard Charles Albert Holbrooke
SPIN

Buded: 7-13-94



b6
b7C

Special Handling Instructions: EXPEDITE! Please hand carry
to 161 Supervisor.

Originator's Name: _____

Telephone: _____

Originator's Facsimile Number: _____

Approved: JAB/act

FBI/DOJ

ROUTING SLIP

July 5, 1994

TO: ADIC, New York (Enc.)
FROM: Director, FBI (161B - HQ - 4612)
SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE
SPIN;
OO: FBIHQ
BUDED: 7/13/94

Enclosed for New York is a copy of part of a computerized credit bureau check conducted on appointee.

Reference Bureau fax to New York et al dated 7/1/94.

During the 1993 Department of State (DOS) background investigation of appointee, records of TRW disclosed a tax lien in Sacramento, California, and a judgment in New York City. DOS interviewed appointee regarding both these matters, and his accountant advised that both matters had been resolved. DOS did directly confirm through records located in Sacramento, California, that the tax lien had been lifted; however, DOS never checked any records in New York City regarding the judgment.

Direct results/questions to PSS [redacted] SPIN
Unit, FBIHQ, Room 4371, Ext. [redacted] to be received by no later
than COB Buded.

b6
b7c

LEADS:

NEW YORK DIVISION:

Check for pertinent information concerning appointee at
A) New York County Records, 6 Centre Street, New York, New York
(sourced as Z 4847010 on the credit bureau print-out) and
B) Manhattan Civil Court, 111 Century St., New York, New York,
telephone (718) 553-7071 (sourced as 1011035 on the credit bureau
print-out). Set forth pertinent information concerning when the
matter was filed, the identities of the plaintiff and defendant,
when and how it was resolved, and any other pertinent
information.

CO-BORROWER

AKA

1998, 1999, 2000, 2001, 2002, 2003, 2004, 2005, 2006, 2007, 2008, 2009, 2010, 2011, 2012, 2013, 2014, 2015, 2016, 2017, 2018, 2019, 2020, 2021, 2022, 2023, 2024, 2025, 2026, 2027, 2028, 2029, 2030, 2031, 2032, 2033, 2034, 2035, 2036, 2037, 2038, 2039, 2040, 2041, 2042, 2043, 2044, 2045, 2046, 2047, 2048, 2049, 2050, 2051, 2052, 2053, 2054, 2055, 2056, 2057, 2058, 2059, 2060, 2061, 2062, 2063, 2064, 2065, 2066, 2067, 2068, 2069, 2070, 2071, 2072, 2073, 2074, 2075, 2076, 2077, 2078, 2079, 2080, 2081, 2082, 2083, 2084, 2085, 2086, 2087, 2088, 2089, 2090, 2091, 2092, 2093, 2094, 2095, 2096, 2097, 2098, 2099, 2100, 2101, 2102, 2103, 2104, 2105, 2106, 2107, 2108, 2109, 2110, 2111, 2112, 2113, 2114, 2115, 2116, 2117, 2118, 2119, 2120, 2121, 2122, 2123, 2124, 2125, 2126, 2127, 2128, 2129, 2130, 2131, 2132, 2133, 2134, 2135, 2136, 2137, 2138, 2139, 2140, 2141, 2142, 2143, 2144, 2145, 2146, 2147, 2148, 2149, 2150, 2151, 2152, 2153, 2154, 2155, 2156, 2157, 2158, 2159, 2160, 2161, 2162, 2163, 2164, 2165, 2166, 2167, 2168, 2169, 2170, 2171, 2172, 2173, 2174, 2175, 2176, 2177, 2178, 2179, 2180, 2181, 2182, 2183, 2184, 2185, 2186, 2187, 2188, 2189, 2190, 2191, 2192, 2193, 2194, 2195, 2196, 2197, 2198, 2199, 2200, 2201, 2202, 2203, 2204, 2205, 2206, 2207, 2208, 2209, 2210, 2211, 2212, 2213, 2214, 2215, 2216, 2217, 2218, 2219, 2220, 2221, 2222, 2223, 2224, 2225, 2226, 2227, 2228, 2229, 2230, 2231, 2232, 2233, 2234, 2235, 2236, 2237, 2238, 2239, 2240, 2241, 2242, 2243, 2244, 2245, 2246, 2247, 2248, 2249, 2250, 2251, 2252, 2253, 2254, 2255, 2256, 2257, 2258, 2259, 2260, 2261, 2262, 2263, 2264, 2265, 2266, 2267, 2268, 2269, 2270, 2271, 2272, 2273, 2274, 2275, 2276, 2277, 2278, 2279, 2280, 2281, 2282, 2283, 2284, 2285, 2286, 2287, 2288, 2289, 2290, 2291, 2292, 2293, 2294, 2295, 2296, 2297, 2298, 2299, 2300, 2301, 2302, 2303, 2304, 2305, 2306, 2307, 2308, 2309, 2310, 2311, 2312, 2313, 2314, 2315, 2316, 2317, 2318, 2319, 2320, 2321, 2322, 2323, 2324, 2325, 2326, 2327, 2328, 2329, 2330, 2331, 2332, 2333, 2334, 2335, 2336, 2337, 2338, 2339, 2340, 2341, 2342, 2343, 2344, 2345, 2346, 2347, 2348, 2349, 2350, 2351, 2352, 2353, 2354, 2355, 2356, 2357, 2358, 2359, 2360, 2361, 2362, 2363, 2364, 2365, 2366, 2367, 2368, 2369, 2370, 2371, 2372, 2373, 2374, 2375, 2376, 2377, 2378, 2379, 2380, 2381, 2382, 2383, 2384, 2385, 2386, 2387, 2388, 2389, 2390, 2391, 2392, 2393, 2394, 2395, 2396, 2397, 2398, 2399, 2400, 2401, 2402, 2403, 2404, 2405, 2406, 2407, 2408, 2409, 2410, 2411, 2412, 2413, 2414, 2415, 2416, 2417, 2418, 2419, 2420, 2421, 2422, 2423, 2424, 2425, 2426, 2427, 2428, 2429, 2430, 2431, 2432, 2433, 2434, 2435, 2436, 2437, 2438, 2439, 2440, 2441, 2442, 2443, 2444, 2445, 2446, 2447, 2448, 2449, 2450, 2451, 2452, 2453, 2454, 2455, 2456, 2457, 2458, 2459, 2460, 2461, 2462, 2463, 2464, 2465, 2466, 2467, 2468, 2469, 2470, 2471, 2472, 2473, 2474, 2475, 2476, 2477, 2478, 2479, 2480, 2481, 2482, 2483, 2484, 2485, 2486, 2487, 2488, 2489, 2490, 2491, 2492, 2493, 2494, 2495, 2496, 2497, 2498, 2499, 2500, 2501, 2502, 2503, 2504, 2505, 2506, 2507, 2508, 2509, 2510, 2511, 2512, 2513, 2514, 2515, 2516, 2517, 2518, 2519, 2520, 2521, 2522, 2523, 2524, 2525, 2526, 2527, 2528, 2529, 2530, 2531, 2532, 2533, 2534, 2535, 2536, 2537, 2538, 2539, 2540, 2541, 2542, 2543, 2544, 2545, 2546, 2547, 2548, 2549, 2550, 2551, 2552, 2553, 2554, 2555, 2556, 2557, 2558, 2559, 2560, 2561, 2562, 2563, 2564, 2565, 2566, 2567, 2568, 2569, 2570, 2571, 2572, 2573, 2574, 2575, 2576, 2577, 2578, 2579, 2580, 2581, 2582, 2583, 2584, 2585, 2586, 2587, 2588, 2589, 2590, 2591, 2592, 2593, 2594, 2595, 2596, 2597, 2598, 2599, 2600, 2601, 2602, 2603, 2604, 2605, 2606, 2607, 2608, 2609, 2610, 2611, 2612, 2613, 2614, 2615, 2616, 2617, 2618, 2619, 2620, 2621, 2622, 2623, 2624, 2625, 2626, 2627, 2628, 2629, 2630, 2631, 2632, 2633, 2634, 2635, 2636, 2637, 2638, 2639, 2640, 2641, 2642, 2643, 2644, 2645, 2646, 2647, 2648, 2649, 2650, 2651, 2652, 2653, 2654, 2655, 2656, 2657, 2658, 2659, 2660, 2661, 2662, 2663, 2664, 2665, 2666, 2667, 2668, 2669, 2670, 2671, 2672, 2673, 2674, 2675, 2676, 2677, 2678, 2679, 26

2000

2015

Number of Dependents

Abstract

Employees:

Задача 1

1998年12月15日

FOR INFORMATION

PROY 49

單行本

Introduction

ALCOA

Johnson
Johnson & Johnson

BELOW

BORROWER

NONE

CO-BORROWER

Reporting bureau certifies that public records have been checked through the use of a qualified public records reporting service with the following results:

CREDIT HISTORY

Creditor Name and Account Number	Date Reported	Date Opened	High Credit	Present Status		Type & Terms	Historical Status			Rating / Comments
				Balance Owning	Amount Past Due		Notes Reported	Times Past Due		
							30	60	90	
***** INQUIRY *****										
ECOA SUBNAME CBR	SUBCODE E0001500			TYPE	AMT		DATE			
							07/05/94			
***** PUBLIC RECORD *****										
SOURCE	DATE	LAB	DATE PD	DOCKET NUM	DESCRIPTION					
3041312	06/91	\$100		06200382	STAT TX LN					
				9106200382						
Z 5087973	08/91	\$123		91218000736						
3041312	08/91	\$100		08120802	STAT TX LN					
				9108120802						
3041312	11/91	\$100		11210759	STA TX REL					
				9111210759						
3041312	11/91	\$100		11210800	STA TX REL					
				9111210800						
<u>Z 4847010</u>	<u>12/90</u>	<u>\$8539</u>		9999999999						
				NYC DEPT OF	FINANCE					
<u>1011035</u>	<u>12/90</u>	<u>\$8500</u>		00000001	JUDGEMENT					
				NYC DEPT OF	FINANCE					
<u>1011035</u>	<u>12/90</u>	<u>\$8500</u>		00122090	JUDGEMENT					
				122090	NYC DEPT OF					

This information is furnished in response to an inquiry for the purpose of evaluating credit risk. It has been obtained from sources deemed reliable, the accuracy of which this organization does not guarantee. The inquirer has agreed to indemnify all reporting bureaus for any damage arising from misuse of this information, and this report is furnished in reliance upon that indemnity. It must be held in strict confidence and comply with the provisions of Public Law 91-506, the Fair Credit Reporting Act. Reporting bureaus and all All Residential Monitor Credit Reports meet the standards prescribed by FCRA, 15 U.S.C. § 1681 et seq. and the Federal Trade Commission's Regulation C.

**IMPORTANT
AND URGENT**

FBI/DOJ

**FBI FACSIMILE
COVERSHEET****CLASSIFICATION****PRECEDENCE**

- ☐ Immediate
☒ Priority
☐ Routine

- ☐ Top Secret
☐ Secret
☐ Confidential
☐ Sensitive
☒ Unclassified

Time Transmitted: _____

Sender's Initials: _____

Number of Pages: 5To: FBI NY, WMFO
(Name of Office)Date: 7-5-94

Facsimile number: _____

Attn: 161 Supervisor (NY- WMFO)
 (Name Room Telephone)

b6
b7CFrom: SPIN Unit - FBIHQ
(Name of Office)

Subject: Richard Charles Albert Holbrooke
SPIN
Buded: 7-13-94

Special Handling Instructions: EXPEDITE! Please hand carry
to 161 Supervisor.

Originator's Name _____

Telephone: _____

Originator's Facsimile Number: X _____Approved: JAB/Def

FBI/DOJ

SUPPLEMENT TO STANDARD FORM 86 (SF-86)
(Attach additional pages if necessary)

15. Please list names of all corporations, firms, partnerships or other business enterprises, and all nonprofit organizations and other institutions with which you are now, or during the past five years have been, affiliated as an officer, owner, director, trustee, partner, advisor, attorney or consultant. In addition, please provide the names of any other organizations with which you were affiliated prior to the past five years that might present a potential conflict or appearance of conflict of interest with your prospective appointment. (Please note that in the case of an attorney's client listing, it is only necessary to provide the names of major clients and those that might present a potential conflict or appearance of conflict of interest with the prospective appointment).

I was a Managing Director of Shearson Lehman Brothers from 1985-1993. Other than that, no other such affiliations.

26. Please list all your interests in real property, other than a personal residence, setting forth the nature of your interest, the type of property and the address. I own residences in:
- Washington, D.C. - 1215 29th Street (for sale)
 - Telluride, Colorado - Condominium (rented) **DN**
 - New Milford, Connecticut - country house (rented) **NH**

35. Have you or any firm, company or other entity with which you have been associated ever been convicted of a violation of any Federal, state, county or municipal law, regulation or ordinance? If so, please provide full details.

Not to my knowledge.

45. Have you or any firm, company or other entity with which you have been associated ever been the subject of Federal, state or local investigation for possible violation of a criminal statute? If so, please give full details.

Not to my knowledge.

55. Have you ever been involved in civil or criminal litigation, or in administrative or legislative proceedings of any kind, either as a plaintiff, defendant, respondent, witness or party in interest? If so, please give full details identifying dates, issues litigated and the location where the civil action is recorded.

No.

65. Have you ever been disciplined or cited for a breach of ethics or unprofessional conduct by, or been the subject of a complaint to any court, administrative agency, professional association, disciplinary committee, or other professional group? If so, please give full details.

No.

75. Have you ever run for political office, served on a political committee or been identified in a public way with a particular organization, candidate or issue? Have any complaints been lodged against you or your political committee with the Federal Election Commission or state or local election authorities? If so, please describe.

No to all of the above, except: I was a member of the Board of Directors of a Political Action Committee called "Democrats for the '80s" for one year (1991). I never attended a meeting of the PAC.

85. Are you currently, or have you ever been, a member or office holder in any club or organization that restricts or restricted membership on the basis of sex, race, color, religion, national origin, age or handicap? If so, provide the name, address and dates of membership for each.

No.

95. Please identify any adults (18 years or older) currently living with you who are not members of your immediate family. Provide the names of those individuals, dates and places of birth, and whether or not they are United States citizens.

None.

105. Is there anything in your personal life that could be used by someone to coerce or blackmail you? Is there anything in your life that could cause an embarrassment to you, or to the President if publicly known? If so, please provide full details.

No.

I understand that the information being provided on this supplement to the SF-86 is to be considered part of the original SF-86 dated 6/24/94 and a false statement on this form is punishable by law.

See attached signed original
Signature

SUPPLEMENT TO STANDARD FORM 86 (SF-86)
(Attach additional pages if necessary)

15. Please list names of all corporations, firms, partnerships or other business enterprises, and all nonprofit organizations and other institutions with which you are now, or during the past five years have been, affiliated as an officer, owner, director, trustee, partner, advisor, attorney or consultant. In addition, please provide the names of any other organizations with which you were affiliated prior to the past five years that might present a potential conflict or appearance of conflict of interest with your prospective appointment. (Please note that in the case of an attorney's client listing, it is only necessary to provide the names of major clients and those that might present a potential conflict or appearance of conflict of interest with the prospective appointment).

I WAS A MANAGING DIRECTOR OF SHEARSON
LEHMAN BROTHERS FROM 1985 TO 1993. OTHER THAN
THAT, NO OTHER SUCH AFFILIATIONS.

26. Please list all your interests in real property, other than a personal residence, setting forth the nature of your interest, the type of property and the address. I OWN RESIDENCES IN:

- 1) WASHINGTON, D.C. - 1215 29th Street (FOR SALE)
- 2) TELLURIDE, COLO. - CONDOMINIUM (RENTED)
- 3) NEW MILFORD, CONN. - COUNTRY HOUSE (RENTED)

35. Have you or any firm, company or other entity with which you have been associated ever been convicted of a violation of any Federal, state, county or municipal law, regulation or ordinance? If so, please provide full details.

NOT TO MY KNOWLEDGE.

45. Have you or any firm, company or other entity with which you have been associated ever been the subject of Federal, state or local investigation for possible violation of a criminal statute? If so, please give full details.

NOT TO MY KNOWLEDGE.

55. Have you ever been involved in civil or criminal litigation, or in administrative or legislative proceedings of any kind, either as a plaintiff, defendant, respondent, witness or party in interest? If so, please give full details identifying dates, issues litigated and the location where the civil action is recorded.

NO.

65. Have you ever been disciplined or cited for a breach of ethics or unprofessional conduct by, or been the subject of a complaint to any court, administrative agency, professional association, disciplinary committee, or other professional group? If so, please give full details.

NO.

72. Have you ever run for political office, served on a political committee or been identified in a public way with a particular organization, candidate or issue? Have any complaints been lodged against you or your political committee with the Federal Election Commission or state or local election authorities? If so, please describe. NO TO ALL OF THE ABOVE, EXCEPT:

I WAS A MEMBER OF THE BOARD OF DIRECTORS OF A POLITICAL ACTION COMMITTEE CALLED "DEMOCRATS FOR THE 1805" FOR ONE YEAR (1991). I NEVER ATTENDED A MEETING OF THE PAC.

85. Are you currently, or have you ever been, a member or office holder in any club or organization that restricts or restricted membership on the basis of sex, race, color, religion, national origin, age or handicap? If so, provide the name, address and dates of membership for each.

NO.

98. Please identify any adults (18 years or older) currently living with you who are not members of your immediate family. Provide the names of those individuals, dates and places of birth, and whether or not they are United States citizens.

NONE.

105. Is there anything in your personal life that could be used by someone to coerce or blackmail you? Is there anything in your life that could cause an embarrassment to you or to the President if publicly known? If so, please provide full details.

NO

I understand that the information being provided on this supplement to the SF-86 is to be considered part of the original SF-86 dated 6/24/94 and a false statement on this form is punishable by law.


Signature

**IMPORTANT
AND URGENT**

FBI/DOJ

**FBI FACSIMILE
COVERSHEET****CLASSIFICATION****PRECEDENCE**

- ☐ Immediate
☒ Priority
☐ Routine

- ☐ Top Secret
☐ Secret
☐ Confidential
☐ Sensitive
☒ Unclassified

Time Transmitted: _____

Sender's Initials: _____

Number of Pages: 3To: FBI DN
(Name of Office)Date: 7-5-94Facsimile number: 303-628-3085Attn: 161 Supervisor
(Name Room Telephone No.)From: SPIN Unit - FBIHQ
(Name of Office)Subject: Richard Charles Albert Holbrooke
SPINb6
b7CBuded: 7-13-94Special Handling Instructions: EXPEDITE! Please hand carry to
161 Supervisor.

Originator's Name

Telephone: _____

Originator's Facsimile Number: XApproved: JAB/DeT

FBI/DOJ

ROUTING SLIP

July 5, 1994

TO: SAC, Denver (Enc.)
FROM: Director, FBI (161B - HQ - 4612)
SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE
SPIN;
OO: FBIHQ
BUDED: 7/13/94

Enclosed for Denver is a copy of appointee's release form.

Reference Bureau fax to New York et al dated 7/1/94 (no copy to Denver).

For information of Denver, Bureau has been requested by the White House to conduct a Level II background investigation of appointee in connection with an unspecified Presidential appointment which requires Senate confirmation. (The White House has not indicated to the FBI the position for which appointee is being considered; however, per newspaper articles, he will be Assistant Secretary of State for European and Canadian Affairs.)

Appointee was born 4/24/41 at New York, New York, is currently employed as U.S. Ambassador to Germany, and has SSAN 132-32-3096.

Direct results/questions to PSS [redacted] SPIN
Unit, FBIHQ, Room 4371, Ext. [redacted] TO BE RECEIVED BY NO LATER
THAN COB BUDED.

b6
b7C

LEADS:

DENVER DIVISION:

Appointee indicated he owns a condominium property (not further identified) in Telluride, Colorado. Denver should conduct appropriate indices, arrest, and U.S. Attorney's Office checks on appointee.

UNITED STATES OF AMERICA

AUTHORIZATION FOR RELEASE OF INFORMATION

Carefully read this authorization to release information about you, then sign and date it in ink.

I **Authorize** any investigator, special agent, or other duly accredited representative of the U.S. Office of Personnel Management, the Federal Bureau of Investigation, the Department of Defense, and any authorized Federal agency, to obtain any information relating to my activities from schools, residential management agents, employers, criminal justice agencies, retail business establishments, or other sources of information. This information may include, but is not limited to, my academic, residential, achievement, performance, attendance, disciplinary, employment history, and criminal history record information.

I **Understand** that, for financial or lending institutions, medical institutions, hospitals, health care professionals, and other sources of information, a separate specific release will or may be needed, and I may be contacted for such a release at a later date.

I **Further Authorize** the U.S. Office of Personnel Management, the Federal Bureau of Investigation, the Department of Defense, and any other authorized agency, to request criminal record information about me from criminal justice agencies for the purpose of determining my eligibility for, assignment to, or retention in, a sensitive position, in accordance with 5 U.S.C. 9101.

I **Authorize** custodians of records and sources of information pertaining to me to release such information upon request of the investigator, special agent, or other duly accredited representative of any Federal agency authorized above regardless of any previous agreement to the contrary.

I **Understand** that the information released by records custodians and sources of information is for official use by the Federal Government only for the purposes provided in this Standard Form 86, and may be redisclosed by the Government only as authorized by law.

Copies of this authorization that show my signature are as valid as the original release signed by me. This authorization is valid for two (2) years from the date signed.

Signature (Sign in Ink) 	Full Name (Type or Print Legibly) Richard C. Holbrooke	Date Signed 24 June 1994
Other Names Used	Social Security Number 1 3 2 - 3 2 - 3 0 9 6	
Current Address (Street, City) U.S. Embassy Bonn Germany APO AE 09080	State 1	ZIP Code 1 1 1 1
		Home Telephone Number (Include Area Code) () 492283391

FBI FACSIMILE
COVERSHEET

CLASSIFICATION

PRECEDENCE

- ☒ Immediate
☐ Priority
☐ Routine

- ☐ Top Secret
☐ Secret
☐ Confidential
☐ Sensitive
☒ Unclassified

Time Transmitted: 1:05 AM

Sender's Initials: _____

Number of Pages: 1To: Ambassador's Residence
(Name of Office)Date: 7/1/94

Facsimile number: _____

Attn: _____

b6
b7CFrom: FBI Headquarters
(Name of Office)Subject: Supplement to SF-86Special Handling Instructions: Pls. hand carry to

Originator's Name: _____

Telephone: _____

Originator's Facsimile Number: _____

Approved: [Signature]

FBI/DOJ

STATEMENT TO STANDARD FORM 86 (SF-86)

(Attach additional pages if necessary)

1S. Please list names of all corporations, firms, partnerships or other business enterprises, and all nonprofit organizations and other institutions with which you are *now*, or *during the past five years* have been, affiliated as an officer, owner, director, trustee, partner, advisor, attorney or consultant. In addition, please provide the names of any other organizations with which you were affiliated *prior to the past five years* that might present a potential conflict or appearance of conflict of interest with your prospective appointment. (Please note that in the case of an attorney's client listing, it is only necessary to provide the names of major clients and those that might present a potential conflict or appearance of conflict of interest with the prospective appointment).

2S. Please list all your interests in real property, other than a personal residence, setting forth the nature of your interest, the type of property and the address.

3S. Have you or any firm, company or other entity with which you have been associated ever been convicted of a violation of any Federal, state, county or municipal law, regulation or ordinance? If so, please provide full details.

4S. Have you or any firm, company or other entity with which you have been associated ever been the subject of Federal, state or local investigation for possible violation of a criminal statute? If so, please give full details.

5S. Have you ever been involved in civil or criminal litigation, or in administrative or legislative proceedings of any kind, either as a plaintiff, defendant, respondent, witness or party in interest? If so, please give full details identifying dates, issues litigated and the location where the civil action is recorded.

6S. Have you ever been disciplined or cited for a breach of ethics or unprofessional conduct by, or been the subject of a complaint to any court, administrative agency, professional association, disciplinary committee, or other professional group? If so, please give full details.

7S. Have you ever run for political office, served on a political committee or been identified in a public way with a particular organization, candidate or issue? Have any complaints been lodged against you or your political committee with the Federal Election Commission or state or local election authorities? If so, please describe.

8S. Are you currently, or have you ever been, a member or office holder in any club or organization that restricts or restricted membership on the basis of sex, race, color, religion, national origin, age or handicap? If so, provide the name, address and dates of membership for each.

9S. Please identify any adults (18 years or older) currently living with you who are not members of your immediate family. Provide the names of those individuals, dates and places of birth, and whether or not they are United States citizens.

10S. Is there anything in your personal life that could be used by someone to coerce or blackmail you? Is there anything in your life that could cause an embarrassment to you or to the President if publicly known? If so, please provide full details.

I understand that the information being provided on this supplement to the SF-86 is to be considered part of the original SF-86 dated _____ and a false statement on this form is punishable by law.

Signature

IMPORTANT AND URGENT



FBI/DOJ



FBI FACSIMILE COVERSHEET

CLASSIFICATION

PRECEDENCE

- ☐ Immediate
☐ Priority
☐ Routine

- ☐ Top Secret
☐ Secret
☐ Confidential
☐ Sensitive
☐ Unclassified

Time Transmitted: _____

Sender's Initials: _____

Number of Pages: NH=5NY, WMFO=17To: FBI NH, NY, WMFO
(Name of Office)Date: 7-1-94

Facsimile number: _____

Attn: 161 Supervisor
(Name Room Telephone No.)From: SPIN Unit - FBIHQ
(Name of Office)Subject: Richard Charles Albert Holbrooke
SPINb6
b7CBuded: 7-13-94Special Handling Instructions: EXPEDITE! Please hand carry
to 161 Supervisor.

Originator's Name

Telephone: X

Originator's Facsimile Number: X

Approved: JAB/our

FBI/DOJ

FAX

7/1/94

FROM: Director, FBI (161B - HQ - 4612)

TO: ADICs, New York (Enc.)
WMFO (Enc.)
SAC, New Haven (Enc.)
Legat Bonn (Enc.)

RICHARD CHARLES ALBERT HOLBROOKE
SPIN;
OO: FBIHQ
BUDED: 7/13/94

Enclosed for New York, WMFO, and Legat Bonn is a copy of Holbrooke's SF-86 (including release of information form) dated 6/24/94. Enclosed for New Haven is a copy of release of information form only dated 6/24/94.

Bureau has been requested by the White House to conduct a Level II background investigation (BI) of appointee in connection with an unspecified Presidential appointment which requires Senate confirmation. (The White House has not indicated to the FBI what position appointee will be nominated for; however, per The Washington Post this date, he will be Assistant Secretary of State for Europe.) Appointee was born 4/24/41 at New York, New York; is currently employed as U.S. Ambassador to Germany; resides at the Ambassador's residence in Bonn, Germany; and has SSAN 132-32-3096.

Previous 161 BIs were conducted in 1966 and 1977 (NY 161-2129; WF 161-3820). Department of State (DOS) BIs were conducted in 1962, 1976, and 7/93. Update from 7/93, unless indicated otherwise in this Fax or on appointee's SF-86.

Field Offices are reminded that the investigative status of a BI, all deadlines and the position for which the appointee is being considered shall not be disclosed to any interviewees. If during the course of the investigation, interviewees provide the nature of the position, that information is not to be further divulged outside the FBI. Inquiries by interviewees concerning the nature of the position are to be handled as set forth in MIOG, Part II, Section 17-5 (5). Appointees making inquiries regarding the status of their BI are to be referred to the client agency.

Direct results/questions to PSS [redacted] SPIN Unit, FBIHQ, Room 4371, Ext [redacted] BUDED will not be met, telephonically advise PSS [redacted] and set forth reason(s) in Administrative section of investigative report. SPIN Unit facsimile numbers are: [redacted] and [redacted]

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b7c

Fax to ADICs, New York, et al dated 7/1/94
Re: Richard Charles Holbrooke

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b7C

Advise FBIHQ (PSS [redacted]) and appropriate field offices of any derogatory information in accordance with MIOG, Part II, Section 17-5.1(1).

LEADS:

EACH RECEIVING OFFICE:

In addition to investigation to be conducted in those areas marked for coverage in appointee's SF-86, receiving offices are to conduct specific investigation set forth below.

LEGAT BONN:

1. Interview appointee in accordance with MIOG, Part II, Section 17-5.6. If appointee has a copy of the "Supplement to SF-86," obtain a copy of it and immediately fax a copy to the SPIN Unit at the phone number indicated above.

2. Insure that at least 3 - 4 persons knowledgeable concerning appointee are interviewed.

NEW HAVEN DIVISION:

During appointee's 7/93 DOS BI, it was determined that he maintains a residence at 48 Church Hill Road, New Milford, Connecticut. Conduct appropriate indices, arrest, and U.S. Attorney's Office checks on appointee to cover this address.

NEW YORK DIVISION:

1. Check U.S. Attorney's Office on appointee.

2. For information of New York when verifying item 13 on appointee's SF-86, the following persons were contacted by OPM during OPM's 7/93 BI of appointee:

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a) Council on Foreign Relations: [redacted]
[redacted] 58 East 68th Street, telephone 734-0400

b) Citizens Committee for New York City: [redacted]
[redacted] 305 Seventh Avenue, telephone 989-0909

c) International Rescue Committee: [redacted]
[redacted] 386 Park Avenue South, telephone 679-0010

Fax to ADIC, New York, et al dated 7/1/94
Re: Richard Charles Albert Holbrooke

WMFO DIVISION:

1. Check White House and United States Secret Service.
2. Check PIS/DOJ.
3. Review OPF and verify all periods of Federal employment during the past 15 years.
4. Check IG and SY at Department of State.
4. Check Securities and Exchange Commission for any unfavorable information regarding appointee and Lehman Brothers (aka Shearson Lehman Brothers).
5. Insure that at least 7 persons knowledgeable concerning appointee are interviewed.

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b7C

7/15:

Per [redacted] won't be interviewed as it was too close to Buded, also, appointee did not indicate her current whereabouts, they initially separated almost 15 yrs. ago, + there were no children + no alimony.

3*

7/1/94

Director Freeh:

RE: RICHARD HOLBROOKE

Reference my note to you dated 6/28/94.

On 6/30/94, the FBI's Special Inquiry Unit received the request from the White House to initiate the background investigation on Mr. Holbrooke. The White House specifically advised that no special priority needed to be assigned to this case; however, based on your interest, I have prioritized the case at the highest level with a due date to the White House of 7/15/94. If the White House were to prioritize the case, this would be the fastest turnaround they would request. Contact was initiated with Legat, Bonn telephonically on 7/1/94 and he is being provided all the information he needs this date to ensure timely completion of this aspect of the case. He has also been advised of your interest as well as the priority assigned the investigation. The Special Inquiry Unit has obtained a copy of the most recent State Department background conducted on Mr. Holbrooke, and other leads are being set today. The majority of the investigation will be located in Washington, D.C.

1 -
1 -
1 -
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1 -
(1) -

RH:dmb (6)

b6
b7C

DECLASSIFICATION AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
DATE 09-21-2011

~~Classification~~ **CONFIDENTIAL**

Date Received: 07/13/94

Requester: FBI

Section:

☐	I
☐	II
☒	III

Subject: HOLBROOKE, RICHARD CHARLES ALBERT; DPOB: 04/24/41, NY,NY;

Disposition:

Analyst:

Date Sent:

b3 Per CIA

B 7/14/94

--

Per OGA letter dated 5/25/2011

CALLER 14 JUL 09 54

BUREAU DEADLINE: 07/05/94

BY CO  R

RETURN TO ROOM 4371 TL 114

b6
b7C

DATE: 07/01/94

TO: DIRECTOR, CENTRAL INTELLIGENCE AGENCY

① ATTENTION: DEPUTY DIRECTOR FOR OPERATIONS
1 ATTENTION: DIRECTOR OF SECURITY

FROM: DIRECTOR, FEDERAL BUREAU OF INVESTIGATION

SUBJECT: TRUDI HOLBROOKE KEARL 

NEE:

AKA: TRUDI HOLBROOKE

NEE: TRUDI MOOS

NAME CHECK REQUEST

b3 Per CIA

IT IS REQUESTED THIS BUREAU BE FURNISHED ALL INFORMATION AVAILABLE IN THE FILES OF YOUR DIVISION, CONCERNING CAPTIONED SUBJECT. POSITIVE INFORMATION SHOULD BE ATTACHED TO A COPY OF THIS FORM CLASSIFIED WHERE APPROPRIATE AND RETURNED TO THIS BUREAU. IF THE REQUESTED CHECK IS NEGATIVE, A STAMPED NOTATION TO THIS EFFECT AND RETURN OF A COPY OF THIS FORM IS REQUESTED.

DATE/PLACE OF BIRTH SSN SEX MARITAL STATUS SPOUSE NAME

GE
09/15/20

RESIDENCE ADDRESS

OCCUPATION

344 SPRAIN RD
SCARSDALE, NY

CURRENT EMPLOYER

FORMER EMPLOYMENTS

NOT AVAILABLE

1 - DEPUTY DIRECTOR FOR OPERATIONS
1 - DIRECTOR OF SECURITY
SPIN: RICHARD CHARLES ALBERT HOLBROOKE

Per OGA letter dated 5/25/2011

SPECIAL INQUIRY

BUREAU DEADLINE: 07/05/94

BY CO 

RETURN TO ROOM 4271 TL 114

DATE: 07/01/94

TO: DIRECTOR, CENTRAL INTELLIGENCE AGENCY
1 ATTENTION: DEPUTY DIRECTOR FOR OPERATIONS
① ATTENTION: DIRECTOR OF SECURITY

FROM: DIRECTOR, FEDERAL BUREAU OF INVESTIGATION

SUBJECT: TRUDI HOLBROOKE KEARL

NEE:

AKA: TRUDI HOLBROOKE

NEE: TRUDI MOOS

NAME CHECK REQUEST

IT IS REQUESTED THIS BUREAU BE FURNISHED ALL INFORMATION AVAILABLE IN THE FILES OF YOUR DIVISION, CONCERNING CAPTIONED SUBJECT. POSITIVE INFORMATION SHOULD BE ATTACHED TO A COPY OF THIS FORM CLASSIFIED WHERE APPROPRIATE AND RETURNED TO THIS BUREAU. IF THE REQUESTED CHECK IS NEGATIVE, A STAMPED NOTATION TO THIS EFFECT AND RETURN OF A COPY OF THIS FORM IS REQUESTED.

DATE/PLACE OF BIRTH SSN SEX MARITAL STATUS SPOUSE NAME

GE
09/15/20

RESIDENCE ADDRESS

OCCUPATION

344 SPRAIN RD
SCARSDALE, NY

CURRENT EMPLOYER

FORMER EMPLOYMENTS

NOT AVAILABLE

1 - DEPUTY DIRECTOR FOR OPERATIONS
1 - DIRECTOR OF SECURITY
SPIN: RICHARD CHARLES ALBERT HOLBROOKE

b3 Per CIA

Per OGA letter dated 5/25/2011

SPECIAL INQUIRY



FOR OFFICIAL USE ONLY

RELEASE OF PERSONNEL SECURITY INFORMATION

NAME OF SUBJECT (Last, First, Middle) <i>Holbrooke, Richard Charles</i>		FILE NUMBER <i>491330</i>								
DOB <i>4-24-41</i>	POB <i>NYC</i>	DATE OF REQUEST <i>7-8-94</i>								
REQUESTING AGENCY <i>FBI</i>		PURPOSE FOR WHICH INFORMATION REQUIRED <i>SPIN</i>								
NATURE (Description) OF INFORMATION REVIEWED: <i>none</i>										
In <i>Aug 8</i> 19 <i>82</i> Name Checks were conducted on Subject with the following results:										
FBI	FBI IDENT	STATE	PASSPORT	OPM	OSI	NIS	DCII	NSA	INS	
<i>P</i>	<i>N</i>	<i>P</i>	<i>P</i>				<i>N</i>			
Remarks: P - Positive N - Negative										
1. Public Law 93-579, 93rd Congress, S. 3418, December 31, 1974, "Privacy Act of 1974", requires that each agency keep an accounting of each disclosure of a record to any person or agency relative to the name and address of the person or agency to whom the disclosure is made, and the date, nature and purpose of each disclosure. Failure to satisfy this requirement will preclude the release of Agency information. 2. Pursuant to Section 552a(b) (7) of the Privacy Act, no information relative to a civil or criminal enforcement activity is to be released unless the head of the Requesting Agency or department thereof makes written request specifying the portion desired and the law enforcement activity involved. 3. As a representative of the above named Requesting Agency, I understand that all personnel security information being furnished me is FOR OFFICIAL USE ONLY and it is not to be divulged or disseminated except to officials of the Requesting Agency on a strict need-to-know basis.										
Per OGA letter dated 5/25/2011 <i>RM 7/8/94</i> RELEASED BY (Initials) and Date <i>7/12/94</i>										

b6
b7C

BUREAU DEADLINE: 07/05/94

49/330
b6
b7C
BY COURIER

RETURN TO ROOM 4221 TL 114

DATE: 07/01/94

TO: DIRECTOR, CENTRAL INTELLIGENCE AGENCY

1 ATTENTION: DEPUTY DIRECTOR FOR OPERATIONS
① ATTENTION: DIRECTOR OF SECURITY

FROM: DIRECTOR, FEDERAL BUREAU OF INVESTIGATION

SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE NEE:
AKA:

NAME CHECK REQUEST

IT IS REQUESTED THIS BUREAU BE FURNISHED ALL INFORMATION AVAILABLE IN THE FILES OF YOUR DIVISION, CONCERNING CAPTIONED SUBJECT. POSITIVE INFORMATION SHOULD BE ATTACHED TO A COPY OF THIS FORM CLASSIFIED WHERE APPROPRIATE AND RETURNED TO THIS BUREAU. IF THE REQUESTED CHECK IS NEGATIVE, A STAMPED NOTATION TO THIS EFFECT AND RETURN OF A COPY OF THIS FORM IS REQUESTED.

DATE/PLACE OF BIRTH	SSN	SEX	MARITAL STATUS	SPOUSE NAME
NEW YORK, NY 04/24/41	132-32-3096	M		

RESIDENCE ADDRESS	OCCUPATION
EMBASS BONN, APO AE 09 *, BENIN	U S AMBASSADOR

CURRENT EMPLOYER	FORMER EMPLOYMENTS
US DEPARTMENT OF STATE * U S STATE DEPARTMENT WASHINGTON, DC	NOT AVAILABLE

RESIDENCE: EMBASS BONN, APO AE 09 *, BENIN
EMPLOYMENT: US DEPARTMENT OF STATE * BONN, GERMANY, FEDERAL

1 - DEPUTY DIRECTOR FOR OPERATIONS
1 - DIRECTOR OF SECURITY
SPIN: RICHARD CHARLES ALBERT HOLBROOKE

Per OGA letter dated 5/25/2011

SPECIAL INQUIRY

LIMITED OFFICIAL USE
exempted from automatic decontrol by statute

BUREAU OF DIPLOMATIC SECURITY			
TITLE HOLBROOKE, Richard		CASE CLASSIFICATION A04 (5)	
FIELD OFFICE New York	DATE REPORTED 07/12/93	DATES INVESTIGATED 07/09/93	REPORTING AGENT GALLO, Carol
SYNOPSIS APPOINTEE'S employment from 02/01/70 to 06/30/70 at Princeton University, was verified and favorable. -CLOSED- REFERENCE: Headquarters Memorandum dated June 24, 1993. <u>DETAILS:</u> <u>EMPLOYMENT</u> February 1, 1970 to June 30, 1970: Princeton University. 65 Olden Street, Princeton, NJ 08544. 07/09/93 - Nanci Young, Assistant Recordist, Mudd Manuscript Library, verified employment through record review. APPOINTEE was employed as a visiting lecturer. APPOINTEE listed this visiting fellowship under the EDUCATION category on Form 86. <u>MISCELLANEOUS</u> Source interviewed in connection with this investigation was apprised of the relevant provisions of the Privacy Act of 1974 and did not request confidentiality.			
APPROVED  (Special Agent in Charge)		DO NOT WRITE IN THIS SPACE 	
COPIES REFERRED (2) Headquarters (1) NYFO 93-557B		DATE RECEIVED	
REVIEWED BY AGENT SUPERVISOR 7/12/93 (Date) JCV (Initials)			

50249-101

* GPO : 1981 O - 341-526 (6549)

LIMITED OFFICIAL USE
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CONTENT MUST NOT BE DISCLOSED TO UNAUTHORIZED PERSONS.

OPTIONAL FORM 249
(FORMERLY DS-338)
MARCH 1975
DEPT. OF STATE

LIMITED OFFICIAL USE

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BUREAU OF DIPLOMATIC SECURITY

TITLE HOLBROOKE, Richard Charles		CASE CLASSIFICATION AOL	
FIELD OFFICE Washington	DATE REPORTED 07/09/93	DATES INVESTIGATED 07/08/93	REPORTING AGENT J.A. Becht
SYNOPSIS			
RECORD CHECKS			
DIS: On 07/08/93 the Investigative Records at DIS, Ft. Holabird, Md. were checked concerning Applicant and reflected results of Background Investigations completed 09/01/88 and 12/27/88 respectively. Holbrooke was previously investigated by DOS as follows: Miami, Fla. 12/2/76, Chicago, 12/2/76, Washington, D.C. 11/30/76, New York City 06/01/62, Boston, Mass. 05/21/62, Washington, D.C. 04/11/62 and Paris, France 05/02/62. Divorce Records of the DC Superior Court, Family Division, reflect that Applicant was married to Lorraine Elizabeth Sullivan on 06/27/64 in Saigon, Viet Nam. The file reflected a voluntary separation in 10/72 and a subsequent uncontested divorce, initiated by Applicant's wife was granted by the Court on 09/10/75. Records reflected there were two children born of the marriage. An interview was conducted of Applicant on 08/09/88 as part of a Background Investigation. Applicant advised his permanent mailing address is Upper Church Hill Road, New Milford, Ct: Applicant stated he has visited this home on weekends, approximately 25 to 30 times a year since May 86, however, he presently resides in New York City. Applicant's employment with Shearson, Lehman, Hutton caused extensive travel overseas. Applicant has relatives in Switzerland, Paris, France and Buenos Aires, Argentina.			
APPROVED		DO NOT WRITE IN THIS SPACE	
(Special Agent in Charge)		DATE RECEIVED	
COPIES REFERRED			
2 - Headquarters 1 - WFO #9302198			
REVIEWED BY AGENT SUPERVISOR			
(Date)		(Initials)	

50243-101
*GPO : 1975 O-479-006

(FORMERLY DS-836)
OPTIONAL FORM 249
MARCH 1975
DEPT. OF STATE

LIMITED OFFICIAL USE

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CONTENT MUST NOT BE DISCLOSED TO UNAUTHORIZED PERSONS

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HOLBROOK Richard Charles

DIS :

The questioning developed no criminal conduct, nor any mental problems or treatment and the responses raised no questions of judgment or reliability.

Attachment: DIS Investigations

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BUREAU OF DIPLOMATIC SECURITY

WFO:FSB:fsb

TITLE		CASE CLASSIFICATION	
HOLBROOKE, Richard Charles Albert		A04 (5)	
FIELD OFFICE	DATE REPORTED	DATES INVESTIGATED	REPORTING AGENT
Washington	July 08, 1993	June 28- July 08, 1993	F. S. Bland <i>FSB</i>

SYNOPSIS

Date of birth April 24, 1941 at New York verified by passport. Divorced twice, two children, reported to have a stable homelife and to enjoy physical and emotional well-being. Employed as a Managing Director of Lehman Brothers at New York City since 04/85, as a partner in Public Strategies at Washington, D.C., 03/81 to 04/84, and as an Assistant Secretary with the Department of State from 03/77 to 01/81. Eighteen sources interviewed and all commented favorably on APPOINTEE's reputation, stability, moral character, financial honesty, integrity and loyalty. Neighborhood investigated and two sources reported favorably. No record at Washington, D.C., Police, Maryland and Virginia State Police. Credit: Civil Judgement at New York for \$8,500, and state tax liens of \$100 in California. [redacted] Divorce file: APPOINTEE was defendant in first divorce in 1975 and plaintiff in divorce in 1981, both divorces on ground of separation for more than one year; no issues or derogatory information in files. Personal interview: travel to the former USSR five times between 1983 and 1992; due to oversight, business tax in New York City not timely paid, resulting in judgement, and state tax on business holdings not timely paid in California, resulting in liens; balance favorable. Pending: USAIRR.

Referral/Consult

- PENDING -

APPROVED	DO NOT WRITE IN THIS SPACE
<i>Stephen H. Laiba</i> 7/8/93 (Special Agent in Charge)	
COPIES REFERRED	DATE RECEIVED
2 - Headquarters; 1 - WFO #93-2198	
REVIEWED BY AGENT SUPERVISOR	
_____ (Date)	_____ (Initial)

50249-101

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HOLBROOKE, Richard Charles Albert

REFERENCE: Headquarters Memorandum dated June 24, 1993.

DETAILS:

PERSONAL HISTORY

Born April 24, 1941 at New York, as recorded in valid United States Passport.
Divorced twice, two children, reportedly in good health.

EMPLOYMENT

March 1981 to April 1985: Public Strategies (no longer in existence), 2550 M Street, N.W., Washington, D.C. 20030

APPOINTEE related that he had been Vice President of Public Strategies, a consulting firm established by himself and James A. Johnson; their chief client had been Lehman Brothers of New York City, which purchased Public Strategies in April 1985 at which time both APPOINTEE and Johnson became employees of Lehman Brothers.

The following sources were interviewed with favorable results:

On 06/30/93, James A. Johnson, Chief Executive Officer and Chairman of the Board, Federal National Mortgage Association, 3900 Wisconsin Avenue, N.W., Washington, D.C. 20016, stated he was APPOINTEE's partner as President of Public Strategies during this employment, and thereafter his colleague at Lehman Brothers to 01/90. Source had been his student at Princeton 1969 to 1970, his colleague 1977 to 1981 while APPOINTEE was with the Department and Source with the White House. Source described APPOINTEE as a person of outstanding competence and character, and endorsed him completely for the position for which he is being considered. ①

On 06/30/93, Cherry L. Allen, Assistant to the Chairman of the Board, Federal National Mortgage Association, who had been APPOINTEE's colleague 06/81 to 04/85 at Public Strategies, and has known him also in a social capacity for the past twelve years, expressed the highest regard for his integrity and conduct while unhesitatingly recommending him for the position for which he is under consideration. ②

March 1977 to January 1981: Department of State

On 06/28/93, APPOINTEE's personnel record card, maintained in lieu of the Official Personnel File, reflected an Excepted Appointment on 03/31/77 as an Assistant Secretary, EX-04, and resignation on 01/20/81 due to change in the administration.

HOLBROOKE, Richard Charles Albert

The following sources were interviewed with favorable results:

On 06/30/93, Richard M. Moose, Under Secretary for Management (Designate), Room 6311 NS, APPOINTEE's colleague during this employment, and who has known him professionally and socially since 1966, described APPOINTEE as temperate in his personal habits and circumspect in his associations, and Source without reservation recommended him for the position of trust and confidence for which he is to be nominated. 3

On 07/01/93, Paul M. Cleveland, Ambassador, Retired, Room 7527 NS, related that he had been APPOINTEE's colleague throughout this employment, has known him professionally for the past sixteen years, has found him to be a model citizen, exemplary in his character, stable, with wide-ranging capabilities of service to the country, and recommended him for the position for which he is being considered. 4

DEVELOPED SOURCES

The following are summaries of interviews with sources who are acquainted with APPOINTEE professionally or socially, or a combination of both.

On 06/29/93, Morton I. Abramowitz, President, Carnegie Endowment for International Peace, 2400 N Street, N.W., Washington, D.C. 20037, stated he has known APPOINTEE since 1969 in a professional capacity and since then has also had social interaction with him, has observed him in many situations and has found him an outstanding individual in regard to character and integrity. Source gave APPOINTEE his highest recommendation for a position of trust and confidence with the United States government. 5

On 06/30/93, Peter Tarnoff, Under Secretary for Political Affairs, Room 7240 NS, advised that he had been APPOINTEE's colleague 1977 to 1981, has known him professionally and socially since 1964, and their families have vacationed together over the past half-dozen years. Source had no doubts concerning APPOINTEE's honesty, moral character, or loyalty, and gave his wholehearted endorsement for APPOINTEE's selection for the position under consideration. 6

On 06/30/93, Linda J. Harsh, Assistant Director, Washington Program, Council on Foreign Relations, Seventh floor, 2400 N Street, N.W., Washington, D.C. 20037, reported she has known APPOINTEE in a professional capacity since 1975 through his involvement with the Council on Foreign Relations. Source considers APPOINTEE a

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HOLBROOKE, Richard Charles Albert

person of the highest calibre regarding reputation, character, and moral uprightness, and Source willingly recommended him for the position for which he is being considered. 7

On 06/28/93, Priscilla A. Clapp, Senior Deputy Assistant Secretary, RP/RA, Room 5824 NS, stated she was APPOINTEE's colleague 1977 to 1981 with the Department and had previously interacted with him through the Carnegie Endowment for International Peace from the early 1970s, and has known him in a social capacity for the past twenty years. In Source's opinion, APPOINTEE is a brilliant individual whose character and reputation are without blemish, and Source highly recommended him for a position of trust and confidence with the U.S. government. 8

On 06/28/93, Kenneth M. Quinn, Deputy Assistant Secretary, EAP, Room 6205 NS, who was APPOINTEE's colleague from 1977 to 1981 and has known him both professionally and socially for the past sixteen years, expressed a high regard for APPOINTEE's integrity, conduct and patriotism, and recommended him for the position for which he is being considered. 9

On 07/01/93, Frank G. Wisner, Under Secretary of Defense for Policy (Designate), The Pentagon, Arlington, VA 22211, advised that he has known APPOINTEE in a professional and social capacity since 06/65 when they served together with the Department in Saigon. Source affirmed that APPOINTEE is a person of impeccable habits and conduct, a tireless worker and a strong salesperson for the United States, and Source endorsed him for the position for which he is expected to be nominated. 10

On 06/30/93, Susan B. Levine, Deputy Assistant Secretary (Designate), U.S. Treasury Department, 15th Street and Pennsylvania Avenue, N.W., Room 3222, Washington, D.C. 20500, stated she has known APPOINTEE since 1984 when Source became a coworker at Lehman Brothers in New York City, and they have known each other socially as well during this time. Source has never suspected APPOINTEE of improper behavior or associations and holds him in highest regard. Source commented that APPOINTEE has public service in his blood, and recommended him without reservation for the position for which he is being considered. 11

On 06/30/93, W. Robert Pearson, Director, M/NPR, Room 2422A NS, explained that he has known APPOINTEE professionally and socially since they were coworkers in the Department in 1978 and 1979. Source knows nothing of an adverse nature concerning APPOINTEE, and believes that he has always conducted himself in a fully creditable manner. Source recommended APPOINTEE for the position under consideration. 12

- 4 -

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HOLBROOKE, Richard Charles Albert

On 07/07/93, Phyllis E. Oakley, Deputy Assistant Secretary for Regional Affairs, INR, Room 6533 NS, reported that she has known APPOINTEE since 1968 at Paris and considers him a close friend. Source described him as a person of unimpeachable character and conduct, and recommended him for a position of trust and confidence with the United States government. 13

On 07/07/93, Robert B. Oakley, Ambassador, Retired, now President of Charles & Oakley Resources, Suite 150, 3050 K Street, N.W., Washington, D.C. 20037, advised that he was APPOINTEE's colleague with the Department at Saigon in 1965, and was his deputy in EAP in 1977, and has known him socially for the past twenty-eight years. Source stated that APPOINTEE has always been upright in his associations and conduct, and has enjoyed an untarnished reputation, and Source gave him his highest recommendation for the position for which he is being considered. 14

On 07/07/93, James D. Bindenagel, Acting Deputy Assistant Secretary, EUR, Room 6219 NS, said he has known APPOINTEE in a professional capacity since 1977, and holds him in high regard for his competence, character, judgement, and loyalty to the country. Source recommended APPOINTEE for a position of trust and confidence involving the national interest. 15

On 07/07/93, Thomas L. Hughes, President Emeritus, Carnegie Endowment for International Peace, Seventh floor, 2400 N Street, N.W., Washington, D.C. 20037, stated he worked with APPOINTEE from 1971 to 1976 at Foreign Policy Magazine and has interacted with him to the present time through the Carnegie Endowment for International Peace. Source knew nothing of an adverse nature regarding APPOINTEE's character, reputation, or associations, and Source recommended him for the position for which he is being considered. 16

On 07/07/93, Charles William Maynes, Editor, Foreign Policy Magazine, Seventh floor, 2400 N Street, N.W., Washington, D.C. 20037, stated he was involved with APPOINTEE at Foreign Policy Magazine from 1972 to 1976 and at the Department of State from 1977 to 1981, and has known him in a professional capacity for the past twenty-one years. Source believes APPOINTEE has at all times conducted himself properly and is a person of integrity and patriotism. Source recommended him for the position under consideration. 17

On 07/08/93, James R. Schlesinger, Consultant, former Secretary of Defense, Suite 1100, 1627 Eye Street, N.W., Washington, D.C. 20006, stated that he has known APPOINTEE in a professional and social capacity for the past sixteen years, and has

HOLBROOKE, Richard Charles Albert

found him to be an individual with the highest standards of conduct, character, honesty and loyalty, and possessing all the attributes necessary to represent the best interests of the United States in a position of sensitivity bearing on the national security. Source highly recommended APPOINTEE for the position for which he is being considered. 18

NEIGHBORHOOD

August 1981 to August 1988: 1215 29th Street, N.W., Washington, D.C. 20007

On 07/06/93, Jack G. Duncan, President, Duncan & Associates, [redacted] Street, stated that he knew APPOINTEE as a next-door neighbor throughout this period of residence and considered him an excellent neighbor with no questionable interests or associations. Source saw or heard nothing which reflected adversely on APPOINTEE's character, honesty, stability, or loyalty. Source recommended APPOINTEE for a position of trust and confidence with the U.S. government. 19
b6 Per Dept. of State

On 07/07/93, Frances Moyer, Retired, [redacted] The Georgetown Retirement Residence, 2512 Q Street, N.W., Washington, D.C. 20007, advised that she had resided at 1219 29th Street from 1981 to 1991 and knew APPOINTEE as a neighbor during his residence here. To Source, APPOINTEE appeared to live a normal and acceptable lifestyle with proper interests and friends, and nothing in his activities raised a question concerning his character or suitability for a position of trust and confidence with the U.S. government. 20

The following source was contacted by telephone, at her request:

On 07/06/93, Pamela Wendy Gillette, Realtor, [redacted] stated she has known APPOINTEE only since 1990 as the owner/landlord of 1215 29th Street, and her contact with him has been on the infrequent occasions when he has visited the neighborhood and his tenants. Source has developed a good opinion of him as a person of character, conduct, stability, and honesty above reproach. Source recommended APPOINTEE for a position of trust and confidence with the U.S. government. 21

Efforts to identify and interview additional former neighbors of APPOINTEE were unsuccessful.

RECORD CHECKS

POLICE:

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HOLBROOKE, Richard Charles Albert

Metropolitan Police Department, Washington, D.C. - 07/06/93 - no record.

Maryland State Police, Pikesville, Maryland - 06/25/93 - no record.

Virginia State Police, Richmond, Virginia - 06/30/93 - no record.

CREDIT:

06/24/93 - TRW Consumer Credit report reflects Judgement 12/20/90 in New York in amount of \$8,500 by New York City Department of Finance in case #00122090; California State Tax liens of \$100 registered at Sacramento County 06/20/91 in case #06200382, 08/12/91 in case #08120602, 11/21/91 in #11210799 and 11210800.

Referral/Consult

USAIRR: Pending.

DIVORCE:

06/28/93 - Superior Court of the District of Columbia, Family Division, Domestic Relations Branch, CA#D01393-75 is a Complaint for Absolute Divorce filed 04/28/75 by Larrine S. Holbrooke against APPOINTEE on the basis of continuous, voluntary and uninterrupted separation without cohabitation since 10/72. The parties had married on 06/27/64 at Saigon, Vietnam, had two sons from their marriage, and separated by mutual agreement in 10/72. The parties entered into a mutual separation agreement on 03/11/75 which settled and resolved all issues relating to custody and support of the children, property rights, and spousal support rights: APPOINTEE was to provide \$700 monthly child support and alimony, and was financially responsible for education of the children, for whom custody was given to the mother. APPOINTEE did not contest the action, and Judgement of Absolute Divorce was given 09/16/75 on the ground of voluntary separation for more than one year without cohabitation.

CA#D01662-81 is a Complaint for Absolute Divorce filed by APPOINTEE against Blythe Babyak Holbrooke on 04/27/81 on the ground of separation for more than one year. On 06/19/80, the parties entered into a property settlement agreement releasing each other from obligation for alimony, support, and maintenance. No children were born of the marriage. On 08/28/81, the wife responded to APPOINTEE's complaint and also

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HOLBROOKE, Richard Charles Albert

asked the court for divorce because of separation. An Uncontested Praeceptum was signed by counsel for each party on 09/08/81, and Judgement of Absolute Divorce was awarded APPOINTEE on 10/08/91 on the ground of separation from bed and board for more than one year without cohabitation. The file contained a copy of the marriage license reflecting marriage on 01/01/77 in New York City.

PERSONAL INTERVIEW

APPOINTEE was interviewed on June 28, 1993 in the office of Director of Central European Affairs (EUR/EE), room 4228 NS. Prior to commencement of the interview, APPOINTEE was provided a written copy of, and briefed in accordance with, the Privacy Act of 1974; he acknowledged his understanding of this legislation by signing his name on two copies of the Act, one of which was retained by him while the other is attached to this report.

Upon reviewing his Standard Form 86, APPOINTEE clarified the information relating to his residences by stating that, from August 1981 to August 1988, his permanent residence was 1215 29th Street, N.W., Washington, D.C., although beginning April 1985 he was employed by the New York City firm of Lehman Brothers and he traveled to New York two or three times each month for a few days. On those occasions, he usually stayed with his ladyfriend, Diane Sawyer, but also stayed with other friends such as Leslie Gelb. During 1988, after he and Sawyer had discontinued their relationship, he went to Beekman Towers. In August 1988, he moved to his present residence in New York.

APPOINTEE had not listed foreign travel on his SF-86. He said he has made approximately 65 trips outside the United States since 1981 and because of time constraints was unable to chronicle his extensive travel. He identified five trips to the former Soviet Union, and after a telephone call to his administrative assistant at Lehman Brothers he was able to provide the information concerning those trips described later in this report.

APPOINTEE affirmed that his name as it appears on the SF-86 is correct and he has used or been known by no other name. He was born April 24, 1941, at New York, New York, and for verification he displayed U.S. Passport, #F1018827, issued December 17, 1985 and valid to 1995.

APPOINTEE reported that he has married and divorced twice. His first marriage was to the former Larrine Sullivan on June 27, 1964 at Saigon, Vietnam, where he was

HOLBROOKE, Richard Charles Albert

serving as a Foreign Service Officer; Sullivan is a U.S. citizen born in Maryland. They separated in 1972, and in 1975 his wife obtained divorce at Washington, D.C., on the ground of voluntary separation. Two children were born of their marriage: David Dan Holbrooke, now 27 years of age and a free-lance television producer in New York; Anthony Andrew Holbrooke, age 23 and a volunteer with the International Rescue Committee in New York. According to the terms of the separation agreement, both children remained with their mother, and APPOINTEE voluntarily provided monthly child support and alimony, and paid the school tuition of each child.

APPOINTEE's second marriage was to Blythe Babyak in January 1977 in New York City, and APPOINTEE obtained divorce at Washington, D.C., in 1981 on ground of mutual separation for more than one year. They had no children, and no alimony was involved. Babyak was born in New Jersey.

APPOINTEE's father, Dan Holbrooke, now deceased, was born in Russia. His mother, the former Trudi Moos, was born in Germany, is now married as Trudi Holbrooke Kearl and is a homemaker in Scarsdale, New York. His brother and only sibling, Andrew Holbrooke, is a free-lance photo-journalist, living in New York City. No one in his family has lived abroad although his brother has traveled extensively in his occupation. APPOINTEE averred that no one in his family has ever been arrested or incarcerated, and he has no half-brothers or -sisters. He said he has no personal problems that would prevent him accepting immediate or continuous assignment.

APPOINTEE communicates on a regular basis with numerous persons outside the United States for business reasons only, and he identified no foreign friends. He reported that his business dealings on behalf of Lehman Brothers since 1985 have been with clients in the Peoples Republic of China, Hong Kong, Korea, and Japan. From 1981 to 1985, his own company, Public Strategies, advised the Hyundai Corporation of Korea, but he has never acted as a lobbyist for any foreign company or government. He has established no uncommon relationships and was never asked to perform a service contrary to the interests of the United States. He owns no foreign property and has no financial interest overseas.

APPOINTEE described his health as good although he has a tennis elbow but takes no medication. His last physical examination was in late 1992 and all results were normal. His physician is Isador Rosenfeld, 125 East 72nd Street, New York, New York, telephone [redacted]. He said he has never been hospitalized, had a serious illness or disease, or been under the care of a mental health counselor, psychiatrist, psychologist, or neurologist.

b6 Per Dept. of State

HOLBROOKE, Richard Charles Albert

APPOINTEE related that he was appointed to the Department as Assistant Secretary for East Asian and Pacific Affairs from 1977 to January 1981 after which he became an officer of Public Strategies, a consulting firm which he formed with James A. Johnson at Washington, D.C. Their principal client was Lehman Brothers of New York City, and in April 1985 Lehman Brothers purchased Public Strategies and he has been with that company as a Managing Director to the present time. He has been an active member of the Council on Foreign Relations, the Carnegie Endowment for International Peace, and the International Rescue Committee. He has written several books on Asia, and its politics and people, and he also assisted former Secretary Clark Clifford in his book, Counsel to the President : a memoir, in 1991. He has contributed articles to Newsweek magazine, and has written columns for the Asian Wall Street Journal, the New York Times, and Washington Post. He derives income from writings and investments in addition to his salary from Lehman Brothers. He has never been fired, asked to leave, forced to resign or resigned after being told he would be fired, from any position, and he is eligible for rehire at all places of employment. He has never applied for, or received, unemployment compensation.

APPOINTEE's first travel to the former USSR was from March 09 to 19, 1983 when he accompanied New York Times columnist Leslie Gelb to a conference of the USA Institute at Moscow, Russia. He and Gelb had rooms at the Russia Hotel throughout their stay; he could not recall which commercial airline they flew or how travel arrangements were made. He was certain that his expenses were paid by Public Strategies, his own company.

From September 29 to October 04, 1988, he was a member of the American delegation to the First Vladivostok Conference hosted by the Soviet Institute of Oriental Studies. The group was housed at Hotel Vladivostok, and their first and last nights were at the Cosmos Hotel in Moscow. The delegation was flown to Moscow on an American Express Company jet, and they went to and from Vladivostok on Aeroflot, and he believed that their return from Moscow was via Lufthansa. The cost of this trip was borne by APPOINTEE, who then wrote an article for Newsweek about the conference, which Michail Gorbachev had arranged to promote his policy in Asia and the Pacific; delegates were invited from 36 countries.

He accompanied U.S. Representatives Stephen Solarz and Les Aspin, and Madeline Albright, who is now U.S. Representative to the United Nations, and former Department official Hal Sanders, to the Dartmouth Conference at Moscow, September 17 to 22, 1989. The conference was held to promote understanding between the West and the USSR. At Moscow, they were lodged in the Russia Hotel. He then accompanied Rep.

HOLBROOKE, Richard Charles Albert

APPOINTEE avowed that he has never been arrested, detained, questioned or convicted for any offense of the law to include those crimes for which forfeiture of collateral is the prescribed punishment. His involvement with the justice system has been in connection with his two divorces in District of Columbia Superior Court. He has never been involved in any type of civil litigation. He is certain his name has never appeared in the news media in a derogatory manner.

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When asked to discuss a Civil Judgement in the amount of \$8,500 at New York, New York, and two \$100 State Tax Liens at Sacramento, California, APPOINTEE stated he was unaware of them. He thereupon telephoned his accountant, Max Garten, at [REDACTED] who - by speakerphone - reported that the City of New York had sent a notice and demand for payment of \$8,000 on December 21, 1988, for estimated payment of an unincorporated business tax; due to oversight, this tax was not paid, and a second notice was dated January 17, 1990, in the amount of \$8,263, which was paid February 02, 1990. The accountant continued that the \$100 California liens appeared to be state taxes on partnership holdings, and were paid in 1991. APPOINTEE avowed that he has never avoided payment of all applicable taxes, but had no knowledge of these two matters, having relied upon his accountant to advise him when and where to pay all just debts. APPOINTEE feels that his credit rating is excellent, and he has experienced no tax-related difficulties.

APPOINTEE declared that he has never been a member of the Communist Party or any organization that advocates the overthrow of the United States by unconstitutional means, and he has not contributed money to the Communist Party or associated groups. His background was most recently investigated in early 1993 by Department of Defense in anticipation of use as a consultant, and he was previously granted clearances by the Department of State in 1977 and 1962.

APPOINTEE has numerous friends and acquaintances with the Department. None of his relatives are employed by the government.

APPOINTEE described his use of alcohol as a glass of wine with dinner, and an infrequent liqueur, but otherwise no liquor and no beer. He said he has never used or possessed any illegal narcotic, dangerous drug, or marijuana, and has taken prescribed medication only when and as directed by a physician. He said he does not gamble. His avocations are tennis and skiing.

The interview was concluded under favorable conditions.

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HOLBROOKE, Richard Charles Albert

MISCELLANEOUS

All sources interviewed or contacted in connection with this investigation were apprised of the relevant provisions of the Privacy Act of 1974 and none requested confidentiality unless otherwise indicated in this report.

Attachment (to original only): Privacy Act Statement

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NOTICE REQUIRED BY THE PRIVACY ACT OF 1974 (5 USC 552a) TO BE GIVEN TO PERSONS
INTERVIEWED AS PART OF THE BACKGROUND INVESTIGATION TO DETERMINE SUITABILITY
FOR EMPLOYMENT OR FITNESS FOR SECURITY CLEARANCE

AUTHORITY

Executive Orders 10450 and 12065
Foreign Service Act of 1946 (22 USC 911)

RESPONSE MANDATORY
OR VOLUNTARY

: The individual's response to relevant questions in
the pre-employment interview is considered to be
voluntary. An incumbent has an obligation to account
for the performance of his duties and to establish his
fitness for continued security clearance unless any such
response would violate his right not to testify against
himself in a criminal matter.

PRINCIPAL PURPOSE

: The principal purpose in soliciting information is to
permit determination of the individual's suitability
for employment in a sensitive position and his trust-
worthiness for access to classified information.

ROUTINE USES

: The information solicited may be used:

to determine suitability for appointment or continued
employment;

to determine fitness for security clearance;

to determine suitability for assignment to certain
sensitive positions and/or areas;

by other Federal Agencies which may in the future require
the information for the same principal purpose; for law
enforcement purposes, including the prosecution of
offenses; and for other purposes compatible with the
principal purpose;

for such other routine uses as may be published in the
Department's annual notice.

EFFECTS OF NOT
PROVIDING ALL OR
PART OF THE
INFORMATION
REQUESTED

: Should the individual decline to give all or part of
the information requested, the Department may make its
determinations on the basis of such information as it
has been able to acquire. If an incumbent declines to
furnish required information, other than under a claim
of Constitutional right, his refusal may form a basis
for disciplinary action, including dismissal.

Signature

Date

JUNE 28, 1993

Witness

Date

JENKIN
06-28-93

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OFFICE OF SECURITY			
TITLE		CASE CLASSIFICATION	
HOLBROOKE, Richard Charles Albert		A04 (5)	
FIELD OFFICE	DATE REPORTED	DATES INVESTIGATED	REPORTING AGENT
BOSTON	7/7/93	6/30-7/6/93	HENRY J. FLYNN <i>H.J.F.</i>
SYNOPSIS			
Neighborhood investigation at 48 Church Hill Road, New Milford, CT. clear. APPOINTEE has owned this property since 5/16/86. There are no liens. Police checks negative. - CLOSED - REFERENCE: NYFO message to PID and BFO 6/30/93. <u>DETAILS:</u> <u>NEIGHBORHOOD</u> <u>5/16/86 - present:</u> <u>48 Church Hill Road, New Milford, CT.</u> Investigator's note: The RECORDS section of this ROI indicates that records in the Clerk's Office, Town of New Milford, CT, show that APPOINTEE owns property at 48 Church Hill Road, which is located in a very rural area where there are few homes. APPOINTEE's home is not visible from Church Hill Road itself.			
APPROVED		DO NOT WRITE IN THIS SPACE	
<i>Tony R. Bell</i> TONY R. BELL <i>7/8/93</i> (Special Agent in Charge)			
COPIES REFERRED		DATE RECEIVED	
✓ 2-Headquarters			
1-BFO 93-579			
REVIEWED BY AGENT SUPERVISOR			
(Date)		(Initials)	

50249-101

* GPO : 1981 O - 341-526 (6549)

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(FORMERLY DS-838)
MARCH 1975
DEPT. OF STATE

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7/6/93 - Colleen MURPHY, [REDACTED] did not know APPOINTEE. There was no answer at 68 Church Hill Road. Sean PENISTON and Paul KESSON were contacted at the WEITING Farm, which is across the street from APPOINTEE's home. Neither PENISTON nor KESSON know APPOINTEE but are aware that HE lives at 48 Church Hill Road as they have seen him on a few occasions and know who HE is because George WEITING, who probably knows APPOINTEE, has told them who the APPOINTEE is. They work for WEITING who owns the WEITING farm.

7/6/93 - Fritz WEITING, real estate broker, [REDACTED] Road, advised that APPOINTEE, whom he has known for 7 years, is an exceptionally fine individual. He spoke well of his character and has no reason to doubt his loyalty to the United States. APPOINTEE recently completed a biography of Clark CLIFFORD. Mr. WEITING knew Diane SAWYER when the APPOINTEE and she had dated. Miss SAWYER is now married to Mike NICHOLS. Mr. WEITING knew no other friends of the APPOINTEE and none of HIS family. He highly recommended HIM. (By telephone per his request.) (1)

RECORD CHECKS

POLICE:

The information provided in the POLICE section of this ROI was not given in confidence and may be released.

6/30/93 - Connecticut State Police - no record.

7/6/93 - New Milford, CT, Police - no record.

TOWN HALL
NEW MILFORD, CT.

The Grand List of Real Estate is dated 10/1/92 and maintained in the Assessor's Office. It was reviewed 7/6/93 and reflects that Richard C. HOLBROOK (sic), 200 Vesey Street, World Financial Center, NY, NY 10007, owns the property at 48 Church Hill Road, New Milford, CT. 06776. The deed is found in volume 347, page 70, of the books of deeds. The assessed and gross values are \$282,170.00.

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The Property Card for 48 Church Hill Road is maintained in the office of the Town Clerk. This document shows the current owner of a particular piece of property. It reflects the APPOINTEE purchased the house and property at 48 Church Hill Road, New Milford, CT, on 5/16/86 for \$935,000.00. The appraised value is \$403,100.00.

A copy of the deed is found in volume 347, page 70 of the books of deeds. It was purchased 5/16/86 by Richard C. HOLBROOKE.

All liens filed against a person in the State of Connecticut, whether by the federal, state or local government or a private citizen, are maintained in the Grantor Records. These records were reviewed from 1/1/86 to 6/23/93 and no liens were found against APPOINTEE.

MISCELLANEOUS

All sources interviewed during the course of this investigation were advised of the provisions of the Privacy Act of 1974 and none requested confidentiality unless otherwise indicated in this report.

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BUREAU OF DIPLOMATIC SECURITY

TITLE HOLBROOKE, Richard Charles Albert		CASE CLASSIFICATION AO4 (5)	
FIELD OFFICE NEW YORK	DATE REPORTED July 7, 1993	DATES INVESTIGATED 6/29 to 7/7/93	REPORTING AGENT Thomas F. Dalton

SYNOPSIS: EMPLOYMENT: 4/1/85 to Present, Managing Director, Lehman Brothers, a Division of Shearson-Lehman Brothers, Inc., 200 Vesey Street, New York, N.Y., verified. Salary \$175,000.00 per annum. COWORKERS, DEVELOPED SOURCES described APPOINTEE as very intelligent, hard worker, very knowledgeable of world affairs, has a great sense of humor, very energetic, is an expert on U.S. Foreign Policy, a man of integrity, high morals and they all recommended APPOINTEE highly for the position as Ambassador to Germany. RESIDENCE: 8/88 to Present; 213 East 71st Street, New York, N.Y., a Cooperative Apartment Building, verified. Known slightly by one neighbor who stated APPOINTEE has never become involved as a Cooperative Board member, as he had early agreed to. Had disagreements with previous residents. Described APPOINTEE as, "very Aloof", "not caring", and insensitive to other tenants. No records available for the year 1988 at Beekman Towers, 13 Mitchell Place, New York, N.Y. Residence at Beekman Towers verified through DEVELOPED SOURCES. Diane SAWYER, Anchor Person, ABC TV News verified fact that APPOINTEE on visits to New York City during the mid 1980's stayed with her. She gave APPOINTEE highly favorable recommendation.

- CLOSED -

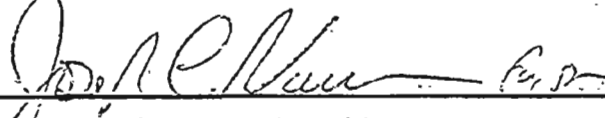
REFERENCE: Headquarters Memorandum dated 6/24/93.

DETAILS:

EMPLOYMENT

4/85 to Present: Lehman Brothers, Division of Shearson-Lehman Brothers, Inc., World Financial Center, 200 Vesey Street, New York, New York.

6/30/93 - Ms. Mary R. KENNY, First Vice President advised her records show

APPROVED  11 (Special Agent in Charge)	DO NOT WRITE IN THIS SPACE
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REVIEWED BY AGENT SUPERVISOR 7/12/93 (Date)	(Initials)

50249-101

* GPO: 1981 O - 341-526 (5549)

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(FORMERLY DS-838)
MARCH 1975
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HOLBROOKE, Richard Charles Albert

that Richard C. A. HOLBROOKE began employment on 4/1/85 as a Managing Director and presently holds that position at a yearly salary of \$175,000.00. She confirmed his social security number as 132-32-3096 and his residence as 213 East 71st Street, New York, N.Y. She further stated her records show that the APPOINTEE has a second home at 48 Churchill Road, New Milford, Connecticut. Ms. KENNY concluded by saying she did not know the APPOINTEE personally, but knew that he enjoyed a wonderful reputation and is highly regarded by other members in the firm.

7/6/93 - Mr. Roman MARTINEZ, Managing Director, phone 212-298-2146, telephonically advised he has known the APPOINTEE as a coworker and on a social basis since 1985, and has visited him at his residence on East 71st Street, in New York City. He said on the average he see the APPOINTEE once a week, but there may be times when he will not see him for two or three weeks, and then he may be with him for 3 or 4 days in a row. He stated the APPOINTEE is a person of good character, enjoys a fine reputation, has like associates and he has never known or heard anything of a derogatory nature concerning him. To his knowledge the APPOINTEE does not drink, has nothing to do with drugs and leads a clean, moral life. He described the APPOINTEE as very smart, very knowledgeable of world affairs, very able, a good organizer, very competent and should do an outstanding job in the position he is being considered for. He said he would highly recommend the APPOINTEE as he knows him to be a loyal American.

7/6/93 - Mr. Richard S. FULD, President, Lehman Brothers, phone 212-640-7200, telephonically advised he has known the APPOINTEE since 4/85, when the APPOINTEE began employment with the firm. He said the APPOINTEE is a very good employee, an honest man of high integrity and a loyal American. He stated in recent years he has come to know the APPOINTEE some what on a social basis, and knows he does not use alcohol, is not involved in illegal drugs, is emotionally stable and has never been involved in any type of sexual misconduct. He also said to his knowledge the APPOINTEE does not employ anyone as a domestic or in any other capacity. 2

Mr. FULD said when anyone first meets the APPOINTEE he comes over as a professor, a book worm, living on his own high plane, but after five minutes of conversation you will know, "that this man knows what he is talking about", "he comes over with an excellent impression", as he is very convincing. The APPOINTEE will talk to anyone about anything, he has the ability to attract key people, is very smart, and has good contacts through out the world. He further stated he considers the APPOINTEE an excellent, outstanding person and he cannot recommend him high enough for the position as U.S. Ambassador to Germany.

DEVELOPED SOURCES

6/30/93 - Mr. Vincent MAI, CEO, AEA Investors, Inc., 65 East 55th Street, New York, N.Y., phone 212-644-5900, advised he has known the APPOINTEE for approximately 12 years, that he was his immediate supervisor at Lehman Brothers, and came to know him on a social basis. He said he has visited the APPOINTEE at his residence on East 71st Street, in New York City, on social occasions, and knew him at one time to reside for a short time at the Beekman Towers on East 49th Street, New York, N.Y. He stated the APPOINTEE is a person of excellent character, totally honest, highly honorable, does not drink, except on a rare occasion may

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HOLBROOKE, Richard Charles Albert

take a small glass of wine. He said he has never known or heard anything of a derogatory nature concerning the APPOINTEE, and to his knowledge has never employed an illegal alien as a domestic; been known to have being involved in any sexual deviations or misconduct, or anything that would be an embarrassment to the U.S. Government. He further stated the APPOINTEE who enjoys an excellent reputation is a very sophisticated, highly intelligent person, who is an astute judge of character, is excellent at judging other people, has a great sense of humor and is very serious concerning the United States Foreign Policy. He concluded by saying that the APPOINTEE is very imaginative, has a creative mind and as he knows him to be a loyal American he would highly recommend him for the position he is being considered for: 3

7/1/93 - Mr. Leslie GELB, President, Council on Foreign Relations, 58 East 68th Street, New York, N.Y., phone 212-734-0400, and former New York Times Newspaper Columnist on Foreign Affairs, advised he had worked with the APPOINTEE in years past and first met him in 1967 when the APPOINTEE was a Foreign Service Officer in South Viet Nam. He said he has come to know the APPOINTEE very well on a social basis and there is no need to question the APPOINTEES character, associates, reputation or loyalty to the United States. He stated the APPOINTEE is extremely intelligent, very energetic, very knowledgeable in his field, that all of his life he has been highly interested in public service and public policy. He said he has always found the APPOINTEE to be a very hard worker, discreet, and would highly recommend him for the position he is being considered for. 4

Mr. GELB confirmed the APPOINTEE resides at 213 East 71st Street, New York, N.Y., as he has visited him there on a social basis, but he has never visited his residence in Connecticut and also to the best of his knowledge the APPOINTEE does not employ anyone as a domestic. Mr. GELB pointed out that in the mid 1980's when the APPOINTEE came to New York City from Washington, D.C., he occasionally stayed with him or with a Ms. Diane SAWYER, with whom he had a close relationship at the time.

7/1/93 - Mr. Alan ROMBERG, Senior Fellow for Asia, Council on Foreign Relations, 58 East 68th Street, New York, N.Y., phone 212-734-0400, advised he has known the APPOINTEE since 1977 when he was a Director in the APPOINTEES bureau in the State Dept., in Washington, D.C. He said he sees him several times a year and last saw him a couple of months ago. He stated he only knew the APPOINTEE as a coworker, but found him to be extremely capable, an original thinker, a hard charger, and as a result may rub some people the wrong way, but not an intentional thing on the part of the APPOINTEE. He further stated the APPOINTEE is very dedicated, is very knowledgeable in his field, and he considers him an expert on U.S. Foreign Policy. Mr. ROMBERG conclude by saying he knew nothing of a derogatory nature concerning the APPOINTEE and without question would absolutely recommend the APPOINTEE for the position as U.S. Ambassador to Germany. 5

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HOLBROOKE, Richard Charles Albert

7/1/93 - Mr. Robert P. DE VECCHI, President, International Rescue Committee, Inc., 386 Park Avenue South, New York, N.Y., phone 212-679-0010, stated he has known the APPOINTEE for 7 years, having met him through Winston LORD, Assistant Secretary of State, but has come to know him real well the past 1½ years, having spent 8 to 9 days with the APPOINTEE in December of 1992 visiting Bosnia. Mr. DE VECCHI said the Committee has, what he would describe, as a loose board of approximately 70 members, and the APPOINTEE became a board member in 1990. He said the APPOINTEE is a man of integrity, of high morals, and he would recommend him without qualification for the position he is being considered for. He further stated the APPOINTEE is very intelligent, very outgoing, a very hard worker, demanding, driving, but gets along well with people and he is a real pleasure to work with. He said the APPOINTEE is an experienced manager who would not require anyone to do something he could not do himself, that he is not petty or mean, but a good man, and a very private person. 6

7/1/93 - Mr. Michael E. CLARK, Executive Director, Citizens Committee for New York City, Inc., 305 Seventh Avenue, New York, N.Y., phone 212-989-0909, advised the APPOINTEE became a Director approximately 1 year ago, that he is not a social acquaintance, but had dinner with the APPOINTEE in February of 1993. In the short time he has known the APPOINTEE he considers him a person of good character and morals, that he has no knowledge of anything of a derogatory nature concerning the APPOINTEE. He said the APPOINTEE came to the Committee with an excellent reputation, is extremely knowledgeable in his field and has been a big help to the Committee. He described the APPOINTEE as a distinguished, prominent, New Yorker, generous in his time given to the Committee. He is committed to the City of New York and America, and has dedicated his services to New York and America. Mr. CLARK said the APPOINTEE is an excellent diplomat, a skilled professional and his strength as a diplomat is real. Mr. CLARK concluded by saying he would highly recommend the APPOINTEE for the position of U.S. Ambassador to Germany. 7

b6 Per Dept. of State

7/1/93 - Former Ambassador Nicholas PLATT, President, Asia Society, 725 Park Avenue, New York, N.Y., was interviewed by phone at his request at his residence [redacted], New York, N.Y., phone [redacted] as he was recuperating from minor surgery. PLATT stated he worked very closely with the APPOINTEE from 1970 to 1977 at the State Dept., in Washington, D.C., that he knew him socially and considered him a friend and a colleague. He said he absolutely knew nothing of a derogatory nature concerning the APPOINTEE, and as he knows him to be a loyal outstanding American he certainly would recommend him wholeheartedly for the position he is being considered for. PLATT said he considers the APPOINTEE a very bright, well motivated, ambitious person, in a positive sense, and that he has made major contributions in the past for the United States in its relations with China. He stated the APPOINTEE served his country well as a State Dept. employee in East Asian Affairs and he will serve his country very well again. 8

7/6/93 - Mr. Thomas HILL, Investment Banker, and Consultant to McAndrews & Forbes, Investment Bankers, 35 East 62nd Street, New York, N.Y., phone [redacted] telephonically advised he has known the APPOINTEE for 11 years, and that he

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HOLBROOKE, Richard Charles Albert

worked with him for 5 years at Lehman Brothers, and has visited him socially at his residence on East 71st Street, New York, N.Y. He said the APPOINTEE does not employ any domestic help, and he could think of nothing of a derogatory nature concerning the APPOINTEE, as he knows him to be a person of good morals, and enjoys an outstanding reputation. He stated the APPOINTEE is very intelligent, extremely well read, articulate, extremely knowledgeable on Foreign Affairs, and can intelligently discuss almost any subject in the international arena. Mr. HILL said he would highly recommend the APPOINTEE for the position he is being considered for. 9

7/2/93 - Ms. Diane SAWYER, Anchor Person, ABC T.V. News, 147 Columbus Avenue, New York, New York, phone [redacted] was interviewed by phone at her request, at which time she stated she has known the APPOINTEE since around 1980 and they were very close friends until early 1988. Ms. SAWYER, who is now married to Michael NICHOLS, stated she is still a friend of the APPOINTEE and sees him 2 or 3 times a year. Ms. SAWYER said the APPOINTEE is a very honest, upright individual and she knew nothing of a derogatory nature concerning him. She stated it was thrilling to learn that he was being considered as Ambassador to Germany. She described the APPOINTEE as a brilliant, serious minded, compassionate, hard working individual, dedicated to his country and who she could not recommend high enough. She said the APPOINTEE, "will be a historical great Ambassador". Ms. SAWYER confirmed that the APPOINTEE stayed at her residence when he visited New York City from Washington, D.C. in the early 1980's, and that he later stayed at the Beekman Towers for a short period of time before moving to his present residence at 213 East 71st Street, New York, N.Y. 10

b6 Per Dept of State

7/6/93 - Mr. Osborne ELLIOTT, Professor, School of Journalism, Columbia University, New York, N.Y., former Dean of the School of Journalism at Columbia University and former Editor in Chief, Newsweek Magazine, was interviewed at his residence [redacted] Stonington, Connecticut, phone [redacted] at which time he advised he has known the APPOINTEE for 20 years on a social basis and considers him a good friend. He said the APPOINTEE is extremely intelligent a person with a warehouse of knowledge, that he has a good sense of humor, and is a good writer. He also said the APPOINTEE does not drink and abhors the use of illegal drugs. He considers the APPOINTEE a man of good morals and knows him to enjoy an excellent reputation. Mr. ELLIOTT said he was aware of the fact that the APPOINTEE owned a residence in another part of Connecticut and to the best of his knowledge the APPOINTEE has never had any servants working for him, and he is just not the type to hire an illegal alien as a domestic or in any other capacity. Mr. ELLIOTT pointed out that the APPOINTEE has already had two distinguished careers, one in the U.S. Dept of State and the other with Lehman Brothers, and he would highly recommend the APPOINTEE for the position as U.S. Ambassador to Germany, where he will make a third distinguished career for himself. 11

7/6/93 - Mrs. Inger ELLIOTT, Art Consultant [redacted] Stonington, Connecticut, was interviewed by phone, [redacted] at which time she stated she first met the APPOINTEE in Java, while on a business trip with her husband and

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HOLBROOKE, Richard Charles Albert

the APPOINTEE has since become a good family friend. She said she found the APPOINTEE to be very smart, very bright, has great talents and uses them wisely. She also said the APPOINTEE has had lots of experience, and uses it to overcome problems he faces on a day to day basis. She stated she knew nothing of a derogatory nature concerning the APPOINTEE, she knows he does not drink, is not involved in drugs, never been involved in any type of sexual misconduct, and she considers him a good man all around, a person of good morals, and she would highly recommend him for the position as Ambassador to Germany. 12

7/7/93 - Mr. Thomas ENDERS, Managing Director, Solomon Brothers, 7 World Trade Center, former U.S. Ambassador to Canada and the European Community, was interviewed by telephone at his request, [redacted] Mr. ENDERS said he has known the APPOINTEE for 25 years, but has come to know him quite well on a social basis over the past 7 years. He described the APPOINTEE as a very outgoing person who has a natural affinity to people, that he is a hustler, in that he is a hard worker, but he is a person of heart, as he is devoted to his friends. He said the APPOINTEE is highly intelligent, and it seems to him that the APPOINTEE knows everyone in government. Mr. ENDERS pointed out that they are both in the same field of business, that they are business competitors, and he has always found the APPOINTEE to be an ethical person in his business dealings. He said the APPOINTEE does not use alcohol or drugs, does not employ any domestic help, and as far as his sexual preference is concerned, he considers the APPOINTEE a convincing ladies man. Mr. ENDERS concluded by saying he would highly recommend the APPOINTEE for the position of Ambassador to Germany. 13

b6 Per Dept of State

7/7/93 - Mr. Peter PETERSON, Investment Banker, Blackstone Group, 345 Park Avenue, New York, N.Y., phone 212-935-2626, telephonically advised he has known the APPOINTEE for well over 20 years, and knew the APPOINTEE as a State Dept. employee when he (PETERSON), was Secretary of Commerce and also when he worked in the White House. He said he knows the APPOINTEE socially and he is a man of outstanding character, who enjoys a good reputation and he has never known or heard anything of a derogatory nature concerning him. He also said the APPOINTEE is very smart, very aggressive in a good way, "is very effective and gets the job done". Mr. PETERSON stated he would recommend the APPOINTEE highly, as he believes he will do an excellent job, that the APPOINTEE is a smart choice, and he considers him the right man for the position as U.S. Ambassador to Germany. 14

RESIDENCE

8/88 to Present: 213 East 71st Street, Apt. #5, New York, New York.

7/6/93 Mrs. Lois DEMING, 213 East 71st Street [redacted] New York, N.Y., phone [redacted] who was interviewed by telephone, advised the building is a Cooperative, made up of the five families residing in it, and at the present she is the President of the Board. She said she did not have any records readily available, but believed the date 8/88 was correct, as to the time Mr. HOLBROOKE moved into the building. She stated he occupies the 4th and 5th floors, plus having use of the roof, and the entrance to his residence is on the 4th floor.

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HOLBROOKE, Richard Charles Albert

Mrs DEMING said she did not know Mr. HOLBROOKE very well as she seldom sees him. She said she considers the APPOINTEE very aloof, not caring, and insensitive to request of other residence in the building. She pointed out that about three years ago, when she was Secretary of the Board, the APPOINTEE's son resided with him, at which time he kept his bicycle in the hallway, and this was an inconvenience to the other residence, and over a period of time the bike tore the wallpaper on the wall hall. One resident wrote a note to the APPOINTEE requesting that he pay for repairing the wallpaper, but the APPOINTEE answered in the negative. She also said as a resident in the building he was supposed to be involved as a board member, which he had agreed to do when he moved in, but he never did become involved. Mrs. DEMING stated that the APPOINTEE, "just did not seem to care for the little guy". She said the residents who had their disagreements with the APPOINTEE, have since sold their apartments, and have moved away, and she is the only one in the building who knows the APPOINTEE. Mrs DEMING noted that the APPOINTEE paid around \$450,000.00 or maybe more for his apartment, at the height of the real estate boom in 1988, but the value of the apartment has decreased by \$50,000.00 to \$65,000.00, and it will be some time before the APPOINTEE can sell and get back the money he paid for it. She said the only positive thing she could say concerning the APPOINTEE is that he pays his maintenance fee and any other bills promptly.

Early 1988 to 7/88: Beekman Towers, 13 Mitchell Place, (corner East 49th Street & First Avenue), New York, New York.

7/1/93 - Mr. Edward DELUNA, Reservations Manager, advised he had no records of former residents for the year 1988. Mr. DELUNA said he could not recall the APPOINTEE.

AGENTS NOTE: Sources set out in the earlier part of this report have indicated they knew the APPOINTEE resided at the Beekman Towers in the early part 1988.

MISCELLANEOUS

All sources interviewed were advised of the relevant provisions of the Privacy Act of 1974 and none requested confidentiality unless otherwise indicated in this report.

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BUREAU OF DIPLOMATIC SECURITY

TITLE HOLBROOKE, Richard		CASE CLASSIFICATION A04 (5)	
FIELD OFFICE New York	DATE REPORTED 07/01/93	DATES INVESTIGATED 6/24/93-6/26/93	REPORTING AGENT M. Murchison

SYNOPSIS

Police check, no record.

-CLOSED-

REF: Headquarters memorandum dated 6/24/93

DETAILS:

RECORD CHECKS

POLICE:

06/26/93 - NYPD Records Division, no record.

APPROVED

For SA J. Baccig Jr
(Special Agent in Charge)

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7/9/93
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50249-101

* GPO : 1982 O - 341-526 (6649)

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(FORMERLY DS-838)
MARCH 1975
DEPT. OF STATE

JUL - 8 1993

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BUREAU OF DIPLOMATIC SECURITY

TITLE HOLBROOKE, Richard C.		CASE CLASSIFICATION A04 (5)	
FIELD OFFICE San Francisco	DATE REPORTED 6/30/93	DATES INVESTIGATED 6/25,30/93	REPORTING AGENT Ralph L. Jensen

SYNOPSIS

Tax liens filed 6/20/89 of \$112.26 and 8/12/91 of \$123.90 against APPLICANT by California Franchise Tax Board for year 1989 were released on 11/13/91.

-CLOSED-

REFERENCE: WFO fax dated 6/25/93.

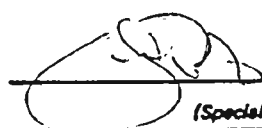
DETAILS

RECORDS CHECK

6/30/93 Records of the Sacramento County Recorder's Office, 720 9th Street reflected the following concerning the APPLICANT:

Book 91-620, page 382 records a tax lien filed on 6/20/91 by the California Franchise Tax Board against Richard C. HOLBROOKE, SSN #132-32-3096, with an address of 111 W. 40th Street, New York, N.Y. for the tax year of 1989 in the amount of \$112.26 including tax, interest, penalty and costs.

Book 91-1121, page 799 reflects this lien was released on 11/13/91.

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* GPO : 1981 O - 341-526 (6549)

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HOLBROOKE, Richard C.

Book 91-812, page 602 reflects a tax lien filed against APPLICANT on 8/12/91 by the California Franchise Tax Board in the amount of \$123.90 including tax, penalty, interest and costs for the tax year 1989.

Book 91-1121, page 800 reflects the release of the above lien on 11/13/91

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FORM 88-830
4-28-58

DEPARTMENT OF STATE
OFFICE OF SECURITY

TITLE HOLBROOKE, Richard Charles		CASE CLASSIFICATION 1A.11.11/6	
FIELD OFFICE Chicago	DATE REPORTED December 2, 1976	DATES INVESTIGATED November 24-1976	REPORTING AGENT William A. COLE

SYNOPSIS

Federal Civilian Personnel Records reflect as follows: Richard Charles Albert HOLBROOKE and Richard (NMN) HOLBROOKE born April 24, 1941, place not recorded; married; employed July 1962 to May 1972, leave without pay status May 1972 to May 1974, Department of State, Washington, D.C., Foreign Service Officer, FSO-4; records clear of adverse information; Department of State security clearance granted June 30, 1962.

- CLOSED -

REFERENCE: Subject Headquarters TWX dated November 24, 1976.

APPROVED <i>John W. [Signature]</i> (Special Agent in Charge)	DO NOT WRITE IN THIS SPACE
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HOLBROOKE, Richard Charles

DETAILS:

PERSONAL HISTORY

The files at the National Personnel Records Center, Civilian Personnel Records (CPR), St. Louis, Missouri, show that Richard Charles Albert HOLBROOKE was born April 24, 1941 and the place was not recorded. The records show that personnel action sheets reflect APPLICANT's name as Richard (NMN) HOLBROOKE later in the file. The records further reveal that APPLICANT was married to Lorraine Sullivan HOLBROOKE, June 27, 1964 at Saigon, Viet Nam and his spouse's birth date was shown as April 13, 1942. APPLICANT was shown as having been enrolled in the Foreign Service Benefit Health Plan, Code 401.

EMPLOYMENT

July 1962 to May 1972, May 1972 to May 1974 - Department of State, Washington, D.C.

The files at CPR, supra, further reflect that APPLICANT's Social Security Number was 132-32-3096 received a limited appointment July 11, 1962 as Foreign Service Reserve Officer, FSR-8 at a salary of \$5,625 per year and was detailed to the University of California, Berkeley, California from September 16, 1962 to January 19, 1963 for language training. APPLICANT was then assigned on reimbursable detail not to exceed March 16, 1965 effective close of business September 17, 1962 as Assistant Development Officer, Area, FSR-8 at the salary of \$5,625 per year with the U.S. Agency for International Development, Saigon, Viet Nam. APPLICANT was converted to the Foreign Service Officer Corps October 14, 1962 and was promoted August 26, 1964 to FSO-7 at a salary of \$7,010 per year. APPLICANT's reimbursable detail was extended until May 23, 1965 when he was reassigned to the U.S. Department of State, American Embassy, Saigon, Viet Nam as Political Officer Provincial Reporting, Third Secretary. The records show APPLICANT was promoted May 13, 1966 to FSO-6 at a salary of \$8,594 per year and on July 31, 1966 was transferred on a non-reimbursable assignment to the White House, Washington, D.C. APPLICANT was again promoted April 23, 1967 to Foreign Affairs Officer, FSO-5 at a salary of \$10,602 per year and on September 24, 1967 was reassigned as Foreign Affairs Officer to the Office of the Under Secretary, Department of State, Washington, D.C. On April 6, 1969, APPLICANT was reassigned as International Relations Officer, General, FSO-5 at a salary of \$12,154 per year with the Office of the Secretary, Peace Mission, Paris with duty station shown as Washington, D.C. APPLICANT was again promoted April 5, 1970 as Foreign Service Officer 4, while he was detailed to Princeton University, Princeton, New Jersey for further training. APPLICANT was then assigned on reimbursable detail to the Peace Corps, Washington, D.C. June 26, 1970 and his Peace Corps

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HOLBROOKE, Richard Charles

Director, FSO-5 at a salary of \$13,704 per year with the Peace Corps Office Rabat, Morocco. APPLICANT's position in Rabat was terminated due to completion of assignment March 31, 1972 and he was shown to have went on leave without pay status May 14, 1972 not to exceed May 13, 1973 as Foreign Service Officer, FSO-4 at a salary of \$19,362 per year with the U.S. Department of State, Miscellaneous, Director General's Office, NOC, Washington, D.C. to accept a position as Managing Editor, Foreign Policy and Magazine. APPLICANT's leave without pay status was extended to May 12, 1974 and APPLICANT resigned while in leave without pay status May 17, 1974 as a Foreign Service Officer, FSO-4 at a salary of \$22,744 per year with the above office. APPLICANT listed his forwarding address as R. HOLBROOKE, 1717 Massachusetts Avenue, NW, Washington, D.C. APPLICANT's Official Personnel Folder contains no further pertinent information and no adverse information concerning APPLICANT.

LOYALTY

The files at C.F.A., supra, further reflect that APPLICANT was granted a security clearance by the Department of State, Office of Security, on June 30, 1962.

A/SY/PSI/I:CFO:WACOLE:bah

- 3 -

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OFFICE OF SECURITY

WDM:K:klr

TITLE HOLBROOKE, Richard Charles		CASE CLASSIFICATION 1A.11.11 (6)	
FIELD OFFICE Miami	DATE REPORTED December 2, 1976	DATES INVESTIGATED November 26, 1976	REPORTING AGENT W. D. McKee

SYNOPSIS

APPLICANT's employment, July to October 1976, Carter-Mondale Campaign Office, Atlanta, Georgia, verified. Police and credit checks negative.

- CLOSED -

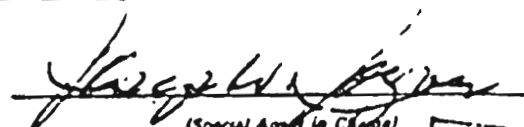
REFERENCE: Headquarters TWX dated November 24, 1976.

DETAILS:

EMPLOYMENT

July to October 1976: Carter-Mondale Campaign Office, Atlanta, Georgia.

On November 26, 1976, Mr. Paul HEMMANN, Administrator for the Carter-Mondale Campaign Office, 100 Colony Square, Atlanta, Georgia, was interviewed at his office. Mr. HEMMANN who personally recalled the APPLICANT. stated that all records pertaining to

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H-8

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HOLBROOKE, Richard Charles

former personnel associated with the Carter-Mondale Campaign Office in Atlanta have been transferred to their Transition Office at the HEV Building, Washington, D. C.

Mr. HEMMANN was able to verify the APPLICANT's dates of employment from payroll records indicating he was employed July 11, 1976 to October 31, 1976. Source recalled that the APPLICANT worked directly for Mr. Stu EISENSTAT and Mr. Al STERN in the "Policies and Issues" Section of the Campaign Office. Source stated that the APPLICANT's duties were to prepare papers setting forth the candidate's stands on various issues and policies. He recalled that the APPLICANT wrote well, was well liked and had no conflicts with other personnel during the campaign.

Source gave favorable testimony regarding the APPLICANT based on his limited contact with him and suggested that Mr. EISENSTAT or Mr. STERN be interviewed in Washington, D. C. for a more detailed report of the APPLICANT's employment. Source offered nothing of a derogatory nature regarding the APPLICANT and recommended him for a position of trust and responsibility. (1)

Attempts to locate other sources at the Campaign Headquarters that knew the APPLICANT during this period of employment met with negative results.

RECORD CHECKS

Police:

Police Department, Atlanta, Georgia, November 26, 1976 - negative.

Credit:

On November 26, 1976, the files of the Credit Bureau, Atlanta, Georgia, were searched in the APPLICANT's name with negative results.

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CG

FORM DS-830
4-28-58

DEPARTMENT OF STATE
OFFICE OF SECURITY

WFO:JT:jad

TITLE HOLBROOKE, Richard Charles		CASE CLASSIFICATION 1A.11.11 (6)	
FIELD OFFICE Washington	DATE REPORTED November 30, 1976	DATES INVESTIGATED 11/24, 26/76	REPORTING AGENT J. Turnicky

SYNOPSIS

Date, place of birth corroborated. Divorced and reported to be in good health. Divorce verified through Office Court Records with the D.C. Superior Court. Employment with Governor Carter Campaign Staff, July 1976 to November 1976 verified. Employment with Foreign Policy Magazine, 1972 to present, verified and favorable. Employment with Department of State 1962 to 1974, corroborated through references and developed sources, however, OPF located at Federal Records Center, St. Louis, Missouri. Security clearance granted by Agency for International Development, 1970 based on SY clearance granted in 1962. References and Developed Sources interviewed and recommend. Neighborhood investigation favorable. Police and credit checks negative.

[REDACTED]

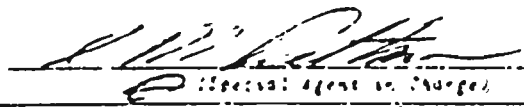
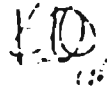
[REDACTED] Civil Service Commission Security Investigation Index reflected investigations initiated by Department of State and FBI in April 1962 and July 1966 respectively. FBI criminal records negative. FBI Investigative Records report hand carried to SY Headquarters.

- CLOSED -

Referral/Consult

REFERENCE: Oral request Mr. Ken Orzell dated November 24, 1975.

DETAILS:

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HOLBROOKE, Richard Charles

PERSONAL HISTORY

APPLICANT, according to records of the U.S. Department of State, was born on April 24, 1941, in New York City. Sources interviewed reported that APPLICANT is currently unmarried and has had one previous marriage. All Sources believed APPLICANT to be in good health.

Divorce Records of the D.C. Superior Court, Family Division, were reviewed by Special Agent T.S. Jenkins on November 24, 1976. The records reflected that APPLICANT was married to Lorraine Elizabeth Sullivan on June 27, 1964 in Saigon, Viet Nam. The file reflected a voluntary separation in October 1972, and a subsequent uncontested divorce, initiated by APPLICANT's wife, was granted by the Court on September 10, 1975. The records also indicate that there were two children born of the marriage, David D., born August 31, 1965; and Anthony A., born December 16, 1969. The record further indicated that APPLICANT, as required by the Court to pay the sum of \$700.00 the first day of each month, \$100.00 for plaintiff and \$300.00 per month per child for support. APPLICANT is also responsible for both children's private school attendance.

EMPLOYMENT

July 1976 to November 1976: Governor Carter Campaign Staff

Mr. Alfred L. Stern, Senior Police Advisor for Foreign Policy, Defense, Health, Education, and Welfare, Carter Transition Campaign, was interviewed on November 24, 1976, by Special Agent R. Higgins. Mr. Stern stated that he was APPLICANT's supervisor for the period July 19, 1976 to November 2, 1976. He described APPLICANT as being very intelligent and the type of person who responds well to directions. He added that APPLICANT is a very hard worker and that he also expects hard work from those employees subordinate to him. He notes however, that APPLICANT is reluctant to give credit, where credit is due, to his subordinates. He further stated that APPLICANT maintains excellent character traits, but would hesitate to recommend him for a supervisory position because, in the opinion of Source, APPLICANT is too status conscious. He continued that he was unaware of APPLICANT's leisure time activities while working in Georgia, except that APPLICANT often flew back to Washington on weekends. He commented entirely favorably concerning APPLICANT's personal habits, health, morals, stability and loyalty; and recommended him for a position of trust. (1)

Attempts to locate personnel and payroll records for this period of employment were met with negative results.

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C11

HOLBROOKE, Richard Charles

1972 to Present: Managing Editor, Foreign Policy Magazine, Washington, DC

Mr. Benjamin Reid, President, German Marshall Fund, Carnegie Endowment for International Peace, was interviewed on November 24, 1976, by Special Agent R. Higgins. Source stated that he has been a colleague of APPLICANT's since November, 1972. He added that his association with APPLICANT has been primarily on a professional basis, however, he has occasionally had dinner with APPLICANT. He described APPLICANT as a hard working individual of above average intelligence. Source continued that because of his limited social contact with APPLICANT he was unaware of his leisure time activities. Source noted that APPLICANT appears to be in good health and maintains high moral standards. He commented entirely favorably regarding APPLICANT's character traits, personal habits and loyalty; and recommended him for a position of trust with the Department of State. (2)

1962 to 1974: U.S. Department of State

Mr. John R. Contee, Personnel Manager, U.S. Department of State, was contacted on November 24, 1976 and advised that APPLICANT's Official Personnel File is located in the Federal Records Center, St. Louis, Missouri.

Mrs. Betty Goodyn, ACTION, Personnel Manager, was contacted on November 24, 1976, and an attempt to locate APPLICANT's Personnel File, with reference to APPLICANT's assignment to the Peace Corps from 1970 to 1972. Source indicated that these records are incorporated into APPLICANT's OPF located at the Federal Records Center.

Mrs. Betty K. Pizzarille, Personnel Security Assistant, ACTION, 806 Connecticut Avenue, N.W., Washington, D.C., was contacted on November 24, 1976 by Special Agent T.S. Jenkins. She advised that a security clearance was granted to APPLICANT in 1970 by the Agency for International Development, based on a final review of U.S. Department of State files on April 10, 1970 and also on an investigation completed by the U.S. Department of State, Office of Security, in 1962. The file contained no derogatory or additional pertinent information.

REFERENCES

Mr. Vladimir Lehovich, Officer in Charge, Defense Policy Affairs, EUR/RMP, Department of State and Mr. Peter Tarnoff, Director, INR/RWE, Department of State, were interviewed by Special Agent J.N. Pursell, on November 24, 1976. Mr. Lehovich stated that he has known APPLICANT, intermittently, since 1962, during which time he was a close personal friend and co-worker. Mr. Tarnoff reported that he has known APPLICANT for 12 years and has also been a personal friend and co-worker. Both (3) (4)

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HOLBROOKE, Richard Charles

Sources reported that during the periods of closest association with APPLICANT, they were in daily contact with him. Both Sources reported that APPLICANT's personal conduct is above reproach. They stated that he is formerly married, having received a divorce from his wife, in 1974. Mr. Tarnoff volunteered that the divorce was on friendly terms and uncontested. He further stated that APPLICANT and his ex-spouse remain close friends. Mr. Tarnoff added that APPLICANT is close to his two sons, whose custody was awarded to his ex-spouse, and visits them whenever possible. Both Sources reported that APPLICANT is athletically inclined and spends most of his leisure time playing tennis. Both Sources indicated APPLICANT, in addition to his official travel while working for the Department of State, has had extensive travel to Western Europe in connection with his job as Editor of Foreign Policy Magazine. Neither Source however, could specifically identify which countries were visited. Mr. Tarnoff further indicated that APPLICANT was a member of the "Tri-Lateral Commission", a private organization whose purpose is to reenforce relations between Western Europe, Japan and the United States. Both Sources commented favorably regarding APPLICANT's morals, habits, stability, health and loyalty; and recommended him highly for a position of trust.

DEVELOPED SOURCES

James G. Lowenstein, Deputy Assistant Secretary, European Bureau, Department of State, and Arthur A. Hartman, Assistant Secretary, European Bureau, Department of State, were interviewed on November 24, 1976 by Special Agent J.N. Pursell. Both Sources reported that they have known APPLICANT on a professional and social basis since 1968. They stated that APPLICANT was formerly married and has two sons. Mr. Lowenstein remembered that APPLICANT had attended Brown University as an undergraduate but was unaware of any post graduate work by APPLICANT. Both Sources remarked that he was held in the highest regard by his colleagues and they have no reason to doubt his loyalty, suitability, or morals. Both Sources commented favorably regarding APPLICANT's physical and emotional stability and indicated that he appears to be financially solvent. They described APPLICANT as a light user of intoxicants and indicated that he has never had any involvement with law enforcement authorities. Both Sources recommended APPLICANT highly for a position of trust with the Department of State. (S)(b)

NEIGHBORHOOD

b6 Per Dept of State

1974 to Present: 1524 Corcoran Street, N.W., Washington, DC

Miss Geraldine P. Kochran, Student, [redacted] and Mr. Earl M. Frye, [redacted] were interviewed on November 24, 1976. Both Sources stated that APPLICANT lives alone at the above (1)(b)

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C-1348

HOLBROOKE, Richard Charles

address and enjoys a good reputation in the neighborhood. Miss Kochran stated that she has known APPLICANT for approximately two years, since he moved into the neighborhood. She noted that APPLICANT travels often and that she watches his home while he is away. She added that he visited APPLICANT's home once for a dinner party but has had no other social contact. She continued when APPLICANT is not travelling he spends much of his leisure time playing tennis. Mr. Frye noted he has had no social contact with APPLICANT other than a neighborly greeting when they see each other. He added that APPLICANT has lived at the above address for the past two or three years and he has been an excellent neighbor during that time. Both Sources indicated that they know of nothing adverse concerning APPLICANT and recommended him for a position of trust.

1973 to 1974: 1415 Rhode Island Avenue, N.W., Washington, D.C.

Mrs. Rose Ostrolenk, Rental Manager, Gleman Company, 1620 I Street, N.W., was interviewed by Special Agent T.S. Jenkins on November 24, 1976. Source advised that it was company policy not to release any information concerning its tenants. She did however, indicate that APPLICANT resided at the above address but, however would not provide dates of residence. She further refused entry into the building by Special Agent Jenkins, in an effort to locate neighbors with knowledge of APPLICANT.

b6 Per Dept of State

1966 to 1974: 2328 Nebraska Avenue, N.W., Washington, D.C.

Andree Maggio, housewife, [redacted] was interviewed on November 24, 1976. Source indicated that APPLICANT moved from the above address approximately two years ago, when he and his wife separated. She stated that prior to that time, APPLICANT and his family lived at the above address for several years and that APPLICANT's spouse and children currently reside at this address. She described APPLICANT as a wonderful neighbor, had no neighborhood problems and was well respected in the community. She added that she had no social contact with APPLICANT but that APPLICANT spent much of his leisure time playing tennis and in family related activities. She commented favorably regarding APPLICANT's morals, habits, health, and loyalty; and recommended him for a position of trust. (9)

Attempts to locate others in the neighborhood with knowledge of APPLICANT were met with negative results.

RECORD CHECKS

FOUO

45-10777 USE

Page's 6 thru 7 Refer

Referral/Consult

To: ~~XXXXX~~, File # 12-11489

(CSC) and



and FBI: ~~(U)~~ for the White House -
Case init. 25 Jul 1976

MISCELLANEOUS

APPLICANT was assisted in preparing his Form 86, on November 24, 1976. At this time, APPLICANT stated that there is an overlap in his employments with the Department of State and Foreign Policy Magazine. He indicated that from 1972 to 1974 he was legally designated as a Foreign Service Officer however, he was on leave without pay from the State Department working for and being paid by Foreign Policy Magazine, 11 Dupont Circle, Washington, D.C.

When preparing item 20, foreign countries visited, APPLICANT stated that he has visited nearly every country between Italy and Japan, except the Bloc countries, he added that all travel was in conjunction with his official duties with the Department of State or his employment with Foreign Policy Magazine. APPLICANT indicated that his only travel to a Bloc Country occurred in November 1975 when he visited East Berlin. He stated that the purpose of this visit was a meeting with Ambassador John Sherman Cooper, and that he remained in East Berlin for approximately three hours. He stated that he crossed the border in an official limousine provided by Ambassador Cooper. He further added that following this meeting, he visited the National Museum in East Berlin with a member of Ambassador's Cooper's Staff. He continued that during this short visit he had no contact with East German Personnel.

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FORM DS-630
4-28-56

DEPARTMENT OF STATE
OFFICE OF SECURITY

TITLE

HOLBROOKE, Richard Charles Albert

CASE CLASSIFICATION

1A.11.23 (5) *gfr*

FIELD OFFICE

New York

DATE REPORTED

JUN 1 1962

DATES INVESTIGATED

5/29, 6/6-8-13 and
15, 1962

REPORTING AGENCY

Malcolm J. Wagner (ksd)

SYNOPSIS

Educational and Selective Service records reflect APPLICANT born April 24, 1941, in New York, N.Y. He is single, never married and believed to be in good health and physical condition. His parents are naturalized citizens, his father deceased. SUBJECT attended SCARSDALE, N.Y. HIGH SCHOOL, Sept. 1954 to June 1958, and was graduated. Employed June 15, 1961 to Sept. 8, 1961, by NEW YORK TIMES, as copy boy, record clear. Selective Service Board 10, Mt. Vernon, N.Y., classified APPLICANT as 1-A on June 1, 1960. References, developed sources and neighbors interviewed, and all spoke well and favorably of APPLICANT, and know nothing derogatory regarding him, and have no reason to doubt his loyalty to the United States. No police or credit record in area of investigation. Employed Summer 1958 by Recreation Dept., Scarsdale, N.Y., record clear.

- CLOSED -

REFERENCE: Memorandum from Chief, Division of Investigations, dated May 5, 1962.

DETAILS:

PERSONAL HISTORY

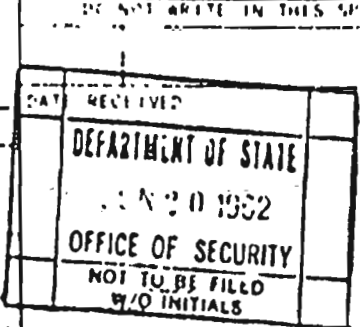
Educational and Selective Service records reflect APPLICANT was born on April 24, 1941 in New York City. He is single, never married, and in good general health and physical condition. His father, deceased, a national of Poland, was naturalized in the United States

APPROVE

Ben P. McGhee

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HOLBROOKE, Richard Charles Albert

Court, Southern District of New York, on June 29, 1944, under Certificate No. 5960355. His mother, a national of Argentina, was naturalized in the United States Court, Southern District of New York, on April 11, 1945, under Certificate No. 6563054. SUBJECT'S mother is remarried to STANLEY B. KEARL, American born.

EDUCATION

September 1954 - June 1958: Scarsdale, New York High School:

Records reviewed in the Principal's Office, SCARSDALE HIGH SCHOOL, reflect APPLICANT was in regular attendance for the period noted above, and was graduated on June 20, 1958. He ranked 95th in a class of 277, averaging 86%. He was a semi-finalist in the General Motors National Scholarships, and was awarded an Alfred P. Sloan National Scholarship to BROWN UNIVERSITY. He was interested in the High School publications, and was popular with fellow students and teachers. The file contains nothing of a derogatory nature, and APPLICANT was not a disciplinary problem.

EMPLOYMENT

June 15, 1961 - September 8, 1961: New York Times, New York City:

Employment records at the NEW YORK TIMES reflect APPLICANT held a summer position with this New York City daily newspaper, as a copy boy, at \$60.00 per week, and left to return to College. His record is clear. Investigative file contains written favorable comments from his immediate supervisor and from the Managing Editor's Office. Sources interviewed are of the opinion SUBJECT could have a permanent position with the TIMES after College Graduation.

SELECTIVE SERVICE

Files at the Selective Service System, Local Board No. 10, Mount Vernon, New York, were reviewed and reflect APPLICANT registered temporarily in Berkley, California, on June 13, 1959, and neglected to do so on time in Mount Vernon, New York. This was excused by the Board, and he supplied the completed questionnaire on July 23, 1959. His registration number is: 301041613, and his date of birth given as April 24, 1941 in New York City. He was classified 1-A on June 1, 1960, with no charges.

REFERENCES:

DR. WILLIAM WOOLNER, Hartsdale, New York, and Mr. LEO ARMATI, Scarsdale, New York, listed references, supplied the Board of Foreign Service Examiners with satisfactory and commendatory written remarks regarding the APPLICANT.

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HOLBROOKE, Richard Charles Albert

SUBJECT listed DAVID P. RUSK, as a reference. This is a son of Secretary of State RUSK, who was a one time resident of Scarsdale, New York, and APPLICANT and reference were close friends and attended High School together. MR. RUSK was in California, but is presently believed to be in Washington, D. C.

DEVELOPED SOURCES

MR. GEORGE PAUFF, Vice Principal, SCARSDALE, NEW YORK HIGH SCHOOL, was interviewed in his office. He recalled APPLICANT well, advising that he was a better than average student, applied himself, and won a four-year scholarship to BROWN UNIVERSITY, where he was Editor-in-Chief of the campus newspaper, "The Brown Daily Herald". Source advised that APPLICANT attended the Summit Meeting in 1960 as a college newspaper editor, and wrote articles for the "New York Times" regarding the conference events. He was a completely masculine youth, socially inclined, was not too forceful orally, but had a real flair for writing. MR. PAUFF would have no reservation if APPLICANT were to be assigned to our Foreign Service. (2)

MR. IRVING MOSCOVITZ, an attorney and a partner in the firm of Graubar & Moscovitz, 40 Wall Street, New York City, and a Scarsdale, New York resident, was interviewed. Source advised he has known the APPLICANT'S family for the past ten or twelve years and APPLICANT'S father was a well-known physician, whose untimely death occurred about six years ago. Since that time, APPLICANT has more or less been on his own resources without a father's hand or counsel, but he has done well. He is intelligent, had a distinct flair for journalism, and was recently graduated from BROWN UNIVERSITY. He has been a guest in source's home on many occasions and possesses all the necessary social graces. He is of excellent habits and morals, and source has never heard him speak in any way that might be termed subversive. Presently, he is rather "gawky" looking, being over six feet tall and perhaps a little conscious of his height. He gets along well socially with both sexes, and is completely normal in manners and actions. MR. MOSCOVITZ would not hesitate to recommend him for our Foreign Service. (3)

MR. MILTON FOX, 6-4 West 57th Street, New York City and a Scarsdale, New York resident, was interviewed. Source advised he has known APPLICANT and his family for a number of years, having been near neighbors when they resided on Cbry Drive in Scarsdale, New York. He considers SUBJECT a very personable young man, highly intelligent, an excellent linguist and one who has been a good influence on other boys his age. He was employed by the "New York Times" and on one occasion, the Summit Conference in Paris 1960, he was the editor of the "New York Times", although he was the editor of his school paper at the time. MR. FOX has a son, a recent graduate (4)

HOLBROOKE, Richard Charles Albert

from Cornell and he is hoping that he will take an interest in the Foreign Service. MR. FOX advised that APPLICANT has been a very close friend of DAVID RUSK, a son of the present Secretary of State, and perhaps this association lead him to choose the Foreign Service rather than a newspaper career.

NEIGHBORHOOD CHECKS

June 1961 - Present: 344 Sprain Road, Scarsdale, New York:

This is the residence of APPLICANT'S step-father and his mother. It is the last house on a winding road and somewhat isolated. The Ashford Hills Boys Camp is directly across the road, and covers a large acreage. MRS. R. FEURER, number 340, a next door neighbor, was interviewed. She knows the parents fairly well, stating the family has lived here less than a year and she has seen APPLICANT infrequently. She considers him a young man of good behavior and manners, nice looking, and is a college boy. He has never caused any disturbance in the area, and she has never heard anything derogatory about him or his family. MRS. S. D. SCHULTZ, number 338, is not acquainted with APPLICANT. Number 336, occupied by a family named HUTCHINSON, was apparently closed and no one could be contacted. (5)

December 2, 1958 - May 30, 1961: 350 Central Park West, New York City:

This is a large apartment house in an excellent area of the City. APPLICANT'S mother held an apartment lease here for the period noted above. APPLICANT was seldom here, being in college for the full period, and summer vacations took him away. No one could be located who recalled APPLICANT.

MR. HAROLD ILLUM, superintendent, recalled APPLICANT and his mother quite well. He stated that they had practically no interest in common with the other tenants, and as there are only four apartments on each floor, he could not think of anyone in the apartment building presently with whom they were acquainted. MR. ILLUM stated APPLICANT and his mother were excellent tenants, caused no difficulty, and left at the termination of their lease when the mother purchased a home in Scarsdale, New York.

1950 - December 1958: 2 Olry Drive, Scarsdale, New York:

MRS. WILTON FOX, residing at 224 Nelson Road, and Mr. PETER MCCOVITZ, residing at 19 Cooper Road, Scarsdale, New York, were near neighbors of APPLICANT and his family when they resided here. Both spoke well and favorably of the APPLICANT, knowing him to be a young man of excellent morals and character. He and his family have always enjoyed an excellent reputation in the neighborhood, and neither source knows of anything derogatory concerning APPLICANT nor have they ever heard anything derogatory concerning him. Neither would doubt his complete loyalty to the United States. (6)

APPLICANT'S

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C1

HOLBROOKE, Richard Charles Albert

RECORD CHECKS

Police:

Records of the following law enforcement agencies were searched in the name RICHARD CHARLES ALBERT HOLBROOKE, with negative results:

Westchester County Sheriff, White Plains, New York.
Police Department, Scarsdale, New York.
Police Department, Town of Greenburgh (covers Scarsdale address)
White Plains, New York.
New York State Police, Executive Division, Albany, New York.
New York State Department of Correction, Albany, New York.
Bureau of Criminal Identification, New York City Police Dept.
Bureau of Special Services, New York City Police Department.
Information Unit, New York City Police Department.
Old Record Room, New York City Police Department.

Credit:

The files of the Credit Bureau of Greater New York, Inc., New York City, contain no record in the name RICHARD CHARLES ALBERT HOLBROOKE.

ADDENDUM

*

*

EMPLOYMENT

July 1, 1958 - Labor Day 1958: Recreation Department, Town of Scarsdale, New York:

MR. WILLIAM FOLEY, Superintendent of Recreation, advised that he did employ APPLICANT as a Tennis Court Attendant for the Summer Season of 1958. SUBJECT had just graduated from the local High School and had been a good student. He was quite capable, performed his duties well, got along well with others, and MR. FOLEY stated that he had nothing but good to say about him. He was a tall, nice looking young fellow and of good habits and character, and source knows nothing derogatory concerning him. APPLICANT received \$200.00 for the season's work, and MR. FOLEY has not seen or been in contact with him since the season terminated. (7)

MR. FOLEY stated that he had previously advised the Board of Foreign Service Examiners at Washington, D. C., concerning APPLICANT, as he had received a questionnaire concerning this employment.

Copy of cited questionnaire is attached to the investigative file.

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FORM 05-836
2-8-50

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DEPARTMENT OF STATE
DIVISION OF SECURITY



CASE CLASSIFICATION
1A-11/23 (5)

TITLE

Richard Charles Albert HOLBROOKE

CONTROL SYMBOL

REPORTING AGENT

Thomas M. Gaffney
Security Officer-in-Charge

FIELD OFFICE

AmEmbassy PARIS, France

WHERE INVESTIGATED

F R A N C E

DATE OF REPORT

May 2, 1962

PERIOD COVERED

May 11-25, 1962

SYNOPSIS:

EMPLOYMENT June 1961 as trainee in a Grenoble Supermarket, France, confirmed. REFERENCE/RESIDENCE contacted by letter, with favorable result. Unknown to Sûreté Nationale Police records. AmEmbassy agencies negative.

- C L O S E D

REFERENCE: SY OM May 5, 1-62

DETAILS:

E M P L O Y M E N T

June 1961 -

Guichard Ferrachon & Cie,

(Etablissements Economiques du Carlin, St. Etienne, Loire)

A reply dated May 24, 1962 from Mr. P. Lefevre, Chief of Personnel, confirmed APPLICANT's employment as trainee in their Grenoble Supermarket during June 1961. Nothing of special interest was to be said of APPLICANT's comportment or work during that short period.

R E F E R E N C E / R E S I D E N C E

A reply dated May 22, 1962 from Dr. Claude Chretien, 12 Avenue de la Gare, Ramorantin, Loir & Cher, confirms that APPLICANT stayed at his home on several occasions as APPLICANT's father wished his son to reside with a French family. Source was impressed by APPLICANT's lively intelligence. With a wide knowledge on many subjects - art, medicine, political affairs, sport, etc., source's friends, acquaintances, and himself were struck by APPLICANT's knowledge and convinced that he had a very good future before him. APPLICANT's character and comportment also were commendable, and the doctor was entirely satisfied with APPLICANT's presence at his home.

APPLICANT's father, a fellow medical student with source, also was very intelligent and refined - a rare quality - and his premature decease was a sorrow to source, who transferred his affection from the father to the son, who well merits it.

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Special Agent in Charge

Richard C. A. HOLBROOKE

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May 26, 1962

B16

RECORDS CHECK

SURETE NATIONAL POLICE FILES Paris: As of May 22, 1962 Richard Charles ' . HOLBROOKE was unknown to these file - administrative, legal and political sections.

AMEMBASSY AGENCIES PARIS: Files of a Confidential Source and the American Liaison Section were checked, with negative result.

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DEPARTMENT OF STATE
OFFICE OF SECURITY

FORM DS-838
4-28-58

TITLE HOLBROOKE, Richard Charles Albert		CASE CLASSIFICATION 1A.11.23 (5)	
FIELD OFFICE Boston	DATE REPORTED May 21, 1962	DATES INVESTIGATED May 15, 1962	REPORTING AGENT Leo A. Goguen

SYNOPSIS

APPLICANT's birth indicated by college records as April 24, 1941 in New York, New York. Single. Good health. Attended Brown University, September 1958 to date, candidate for an A.B. degree. APPLICANT's major is History. Neighborhood investigation clear. Police and credit records negative.

- CLOSED -

REFERENCE: Headquarters memorandum dated May 5, 1962.

DETAILS:

PERSONAL HISTORY

Records of the Recorder's Office, Brown University, reflect that the APPLICANT was born on April 24, 1941 at New York, New York. These records and sources questioned corroborate APPLICANT's claim that he is single and in good health.

APPROVED <i>Francis S. O'Brien</i> Francis S. O'Brien (Special Agent in Charge)	DO NOT WRITE IN THIS SPACE
COPIES REFERRED 2 - Headquarters 1 - BFC File #62-176	DATE RECEIVED DEPARTMENT OF STATE MAY 24 1962 OFFICE OF SECURITY NOT TO BE FILED W/O INITIALS
REVIEWED BY AGENT SUPERVISOR MAY 23 1962	

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GPO 691384

HOLBROOKE, Richard Charles Albert

EDUCATION

September 1958 to date: Brown University, Providence, Rhode Island.

Records of the Recorder's Office, Brown University, Providence, Rhode Island, were reviewed on May 15, 1962. These records reflect that the APPLICANT entered in September 1958 and has remained in attendance since that time, and is presently a candidate for an A.B. degree with a major in History. APPLICANT ranks in the upper third of his class, and nothing derogatory exists in this record.

Mr. EDWARD R. DURGIN, Dean of Students, Brown University, Providence, Rhode Island, was interviewed on May 15, 1962. Source stated that he has known APPLICANT for approximately four years and has had no reason to question APPLICANT's morals, character or loyalty to the United States. However, the source asserted that APPLICANT is opinionated, is rather direct and stands behind his convictions. In an over-all evaluation, source stated that APPLICANT would be considered average, and that he would recommend him for a position with the U. S. Department of State. (1)

Mr. DONALD G. ROHR, Professor of History, Brown University, Providence, Rhode Island, was interviewed on May 15, 1962 and advised that he has known the APPLICANT for approximately four years. Source stated that APPLICANT is single and a person of excellent morals and character and loyalty to the United States. Source added that, in his opinion, APPLICANT is conservative in his political outlook and a supporter of the U. S. form of government. As Editor of the school newspaper, APPLICANT has been involved in some controversies where he has attacked the administration of Brown University and, in his point of view, might be considered slightly immature. Perhaps APPLICANT's major weakness is his inability to finish a job completely. APPLICANT tends to be interested in doing a good job on some of his projects; however, after a few weeks has lost interest and has not used his abilities to the maximum. Source recommends APPLICANT for a position with the U. S. Department of State with certain limitations inasmuch as he feels APPLICANT needs constant supervision in order to accomplish a designated task. (2)

HOLBROOKE, Richard Charles Albert

Mr. ISRAEL J. KAPSTEIN, Professor of English, Brown University, was interviewed on May 15, 1962 and advised that he had known the APPLICANT as a student for approximately three years. Source described APPLICANT as single and a person of excellent morals and character, and he has never had any reason to question his loyalty to the United States. Source asserted that APPLICANT believes in the U. S. form of government and is a supporter of it. On occasion, he has attacked the administration of the University while he was Editor of the school paper. In this attack on the administration, source's opinion and his points had no foundation, nor were they logical and, as a result, he feels the APPLICANT is a little immature. Because of his attack on the administration of Brown University, APPLICANT has alienated some of the faculty. However, being truly objective, source feels that APPLICANT is intelligent enough to face reality, and that he recommends him for a position with the U. S. Department of State.

3

NEIGHBORHOOD

September 1961 to present: 193 Power Street, Providence, Rhode Island.

Mr. WALTER GORDON, Senior, Brown University, resident of 193 Power Street, Providence, Rhode Island, was interviewed on May 15, 1962 and advised that APPLICANT has lived in this building since September 1961. Source described the APPLICANT as single, never married, a person of excellent morals and character, masculine, sober, one who uses good judgment and loyal to the United States. Source has never had any reason to question APPLICANT's political ideology and believes him to be a strong supporter of the U. S. form of government. While Editor of the school newspaper, APPLICANT was involved in several controversies because of his attack on the administration of Brown University. APPLICANT, in some of his articles, recommended changes in administrative procedures, and source added that APPLICANT tended to be outspoken and strong in his convictions. During his association with the APPLICANT, source had never heard APPLICANT indicate that he was a supporter of any type of subversive or questionable groups.

4

Mr. JOHN P. POOLER, resident, 193 Power Street, Providence, Rhode Island, a senior at Brown University, was interviewed on May 15, 1962. Source stated that he had known APPLICANT for

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HOLBROOKE, Richard Charles Albert

approximately four years and had resided with him at the above address since September 1961. Source described APPLICANT as single, never married, a person of excellent morals and character, masculine and intelligent. Source added that, in his opinion, APPLICANT is a strong supporter of the U. S. form of Government and tended to be a little conservative. APPLICANT was Editor of the school newspaper and, in some of his articles, attacked the administration of Brown University. However, in his opinion, although he believes he alienated some of the faculty, he was well-liked by all the students. Source recommends APPLICANT for a position with the U. S. Department of State. (5)

September 1958 to June 1961: Brown University, Providence, Rhode Island.

Mr. STANLEY E. PLUMMER, Assistant Manager, Men's Residence, Brown University, Providence, Rhode Island, was interviewed on May 15, 1962. Source advised that APPLICANT resided on campus from 1958 to 1961; during the school year of 1958-1959, he resided at 101 North Littlefield, and during the school years 1959-1961 at 215 Mead House. These residences are faculty supervised, and his dormitory record is clear. Source added that he had known APPLICANT for three years and had talked to him on several occasions. He considered him to be a fine boy whose morals, character and loyalty to the United States were above reproach. Source added that APPLICANT has always given the indication that he was a strong supporter of the U. S. form of government, and that he would recommend him for a position with the U. S. Department of State. (16)

RECORD CHECKS

Credit:

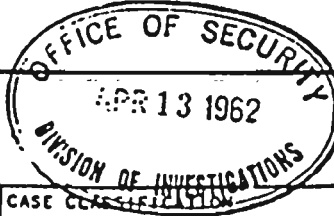
Providence Credit Bureau, Providence, Rhode Island -
no record - May 15, 1962.

Police:

Providence Police Department, Providence, Rhode Island -
no record - May 15, 1962.

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FORM DS-838
4-28-58

DEPARTMENT OF STATE
OFFICE OF SECURITY

TITLE HOLBROOKE, Richard Charles Albert		CASE CLASSIFICATION 1A.11.23 (Recruit)	
FIELD OFFICE Washington	DATE REPORTED April 11, 1962	DATES INVESTIGATED April 6, 1962	REPORTING AGENT <i>RJR</i> Robert J. Regan

SYNOPSIS

APPLICANT interviewed. Details set forth.

- CLOSED -

REFERENCE: Oral request from Board of Examiners received on April 6, 1962.

DETAILS:

INTERVIEW WITH APPLICANT

APPLICANT was interviewed at the Washington Field Office on April 6, 1962 by the writer and Special Agent William DeCOURCY. He explained that he has been in Washington for the past few days and that this visit was prompted by a desire to take the oral examinations for the Foreign Service, which he completed successfully. He further stated that he is presently enrolled in his senior year at Brown University, where he expects to receive his Bachelor of Arts degree in June 1962. APPLICANT noted that he is single, has never been married, nor has he any plans for matrimony at present. Mr. HOLBROOKE advised that he enjoys excellent health and has not been hospitalized, since his 4th or 5th year. He remarked that his father changed his original surname to HOLBROOKE, when he lived in Russia, prior to his (APPLICANT's) birth, and that he is unaware of the original family name, but he informed that, if

necessary,

APPROVED <i>Donald D. Daley</i> Donald D. Daley <i>(Special Agent in Charge)</i>	DO NOT WRITE IN THIS SPACE
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REVIEWED BY AGENT SUPERVISOR	RECEIVED 1

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HOLBROOKE, Richard Charles Albert

necessary; he could obtain this information from his paternal grandmother, who also accepted the name HOLBROOKE. He implied that he is unaware of his father's specific reason for this action, but assumed it was done to Americanize it.

APPLICANT asserted that his college career at Brown University has been free of incidents or situations necessitating intervention by the school authorities with disciplinary restriction. He admitted that, during the summer of 1959, he attended the University of California, at Berkeley, for a very short period, where he started courses in Journalism and Russian. He added that, when he learned that Brown University wouldn't allow him full credit for these courses, he withdrew. He further stated that his attendance lasted no longer than a month and that he lived in an apartment in Berkeley, with his listed reference, David RUSK, for this period and the rest of the summer. APPLICANT indicated that the exact address of this residence was unknown to him, but that Mr. RUSK, a former high school classmate, had lived at the apartment previously and would undoubtedly remember its location. APPLICANT insisted that he forgot to list this period of education on his application, because of its short duration. He noted that his original purpose in going to California was to visit Mr. RUSK, and his enrollment at the University was secondary.

Mr. HOLBROOKE remarked that Professor I. J. KAPSTEIN, a present instructor at Brown University; Professor Klaus EPSTEIN, a History teacher; Professor Donald ROHR, History Department Chairman; Charles H. WATTS, Jr., the College Dean; and Barnaby C. KEENEY, the University President; were all acquainted with him and aware of his activities and behavior at the University, during the past four years. He further advised that John PAOLER, a present roommate; Walter GORDON, another roommate; Prentiss BOWSER, and Robert EBIN, both co-workers on the school paper; were his closest friends at college.

Mr. HOLBROOKE indicated that he has been active in the publishing of the school newspaper for the past three years, and presently holds the position of Editor-in-Chief. He explained that the paper is a daily and that he has frequently written editorial comments for it. He mentioned that the President, Mr. KEENEY, frequently disapproved of his articles, but that these articles were concerned only with internal school iniquities or failures. APPLICANT added that, on one occasion, he authored an editorial criticizing the poor quality of the food served on campus, and for this action he was subsequently notified of Mr. KEENEY's displeasure.

Mr. HOLBROOKE stated that, on another occasion, a group of Professors, at Brown, desired the abolishment of the House Un-American Activities Committee, and publicized their viewpoint. Subsequently, a group of citizens accused President KEENEY of being soft on Communism, because he did nothing to these instructors for advocating such a measure. APPLICANT contended that President KEENEY publicly defended the right of these Professors to make such comments,

although

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HOLBROOKE, Richard Charles Albert

although he never made his position known with regard to the proposed elimination of the House Committee. Mr. HOLBROOKE admitted that he supported the President's actions in an editorial, published subsequently in the school paper. APPLICANT further stated that he feels the House Committee has a right to exist, and he emphasized that he, in various discussions with fellow classmates, has defended this position. However, APPLICANT mentioned that the House Committee has, in the past, harmed the reputations of innocent people and its accomplishments to date are not sufficient to justify the taxpayer's funds required to keep it operating.

APPLICANT declared that the movie "Operation Abolition", which was designed to show how college students were influenced by hard core Communists, failed to prove its point. He implied that, in his opinion, the students, which appeared in the movie, were not influenced by Communist Party members to the extent depicted. He added that he reached this conclusion, after receiving a letter from a friend, who was attending the University of California, at the time. He further stated that his friend advised him that the police actually provoked some of the students, who appeared in the film, as rebellious rioters. APPLICANT informed that the movie actually achieved an unintended effect, because it aroused everybody's interest in national affairs, where, previously, they were apathetic. APPLICANT stated that, in his opinion, the movie was produced by a conservative group, who attempted to prove their point too strongly.

Mr. HOLBROOKE remarked that, after listening to President KENNEDY's speech, justifying the resumption of nuclear testing, he could not fail to agree that this was the only course available to the country, even though he was sorry it had to happen, because of the potential danger to an individual's health and well-being. APPLICANT noted that, although he has no religious affiliation at present, he attended meetings of the "Friends" a few years ago in Scarsdale, New York, because their philosophy regarding nuclear testing and non-participation in military service by conscientious objection appealed to him. He explained that this society does not want nuclear testing by this country, no matter what the cost may be. He added that they also believed an individual could conscientiously object to entering military service, because the Armed Forces were trained to eventually use nuclear weapons, if a state of war erupted. Mr. HOLBROOKE asserted that he has no qualms about entering the military service, and will not hesitate to do so, if called upon. He remarked that he is presently classified 1-A and has been for the past two or three years. He said that, because of his age, he never needed to request a deferment to finish school, but was certain, if he had done so, such deferment would have been granted and his classification changed to 2-S. APPLICANT, at this point, advised that he had neglected to notify his draft board of his present address, and admitted that he has lived at about two or three different residences, since last corresponding with them. He emphasized that he would immediately notify his draft board regarding his present status. Mr. HOLBROOKE remarked that within

about:

(5)

NAME

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HOLBROOKE, Richard Charles Albert

about three weeks, he would be eligible to vote and that he would, at that time, either become a member of one of the two major political parties or remain non-affiliated.

APPLICANT explained that his present residence is a ground floor apartment, situated about three-eighths of a mile from the campus, and which includes two bedrooms with separate sleeping facilities for each occupant. He added that, during preceding school years, he resided on campus, at 209 Hegeman Hall, during 1958-1959, 101 North Littlefield Hall, for a portion of the fall, 1959 semester, and at 215 Mead House, for the remaining school terms, until arriving at his current residence. APPLICANT insisted that his mother's residence is considered by him to be his permanent address, although he admitted never living with her for any extended period, since enrolling at college. Mr. HOLBROOKE noted that his mother remarried after his father's death, and that his stepfather is an artist and sculptor. He emphasized that he has always enjoyed a friendly and compatible relationship with his stepfather, and could reside with him, if he ever so desired. Mr. HOLBROOKE disclosed that, from early June 1960 until early September 1960, he and Lawrence CHASE, the former editor of the school paper, occupied an apartment at #14 Jones Street, in Greenwich Village, while they were employed by the NEW YORK TIMES. He doubted if any neighbors remembered him and he was unable to recall the landlord's name, however, he noted that the apartment was rented through a rental agency, located at 55 Park Avenue, New York City. He insisted that his residency at this location was unmarred by any incidents, which would reflect adversely on his personal character, and he emphasized that it was not noted on his application forms simply because he forgot about it.

Mr. HOLBROOKE asserted that the information shown on his application forms, regarding foreign countries he has previously visited, is correct and complete, to the best of his knowledge. He contended that, during the summer of 1960, when employed in Paris, he had lived in a small apartment, but was unable to remember the address. He explained that on these visits, he either stayed with relatives or friends, or utilized day and night lodgings. He insisted that Yugoslavia was the only Iron Curtain country he had visited, and noted that there were no unusual incidents or happenings which occurred during his week long visit to this country. He further stated that no individual ever attempted to influence his political beliefs, while he was on foreign soil. He recalled that Michael FOX, who is presently a senior at the Liberal Arts College of Cornell University, accompanied him on his trip in 1960, and that Dr. Claude CHRETIEN, a medical school classmate of his father, frequently provided overnight lodgings for him on his visits to Europe. He indicated that Dr. CHRETIEN resided at #10 Avenue, De La Gar, Romorantin, Loir-et-Cher, France. Mr. HOLBROOKE mentioned that Dr. CHRETIEN fought in the Resistance Movement, during World War II, and was definitely not a Communist or a Fascist.

Mr. HOLBROOKE conceded that, during high school, he never took his studies too seriously, but denied ever being suspended from school or subjected to any

serious

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HOLBROOKE, Richard Charles Albert

serious disciplinary action by the school authorities there. He informed that Franklin MYERS, an English teacher; Mrs. BARTLETT, another English teacher; and Mr. PRATT, a Mathematics instructor; were members of the high school faculty, who would probably remember him.

Mr. HOLBROOKE advised that he has been the recipient of an annual scholarship, amounting to \$1700, since entering college. He explained that his grade in the National Merit Examinations, given when he was in high school, was sufficiently high enough to qualify him for such financial assistance. He added that the remainder of the funds required for his tuition and subsistence come indirectly from his maternal grandmother, who resides in Switzerland. He remarked that her lawyer, Rene LOEV, 52 Wall Street, New York City, forwards to him any necessary funds for living expenses. APPLICANT further stated that it was quite possible that Mr. LOEV was merely furnishing him with his own money, since he presumed that his grandmother had made investments in his own name, and that Attorney LOEV merely managed these investments. Mr. HOLBROOKE indicated that he is not presently acquainted with any State Department employees, but that he desires to enter the Foreign Service, because he is interested in Government and would like to feel that he contributed toward obtaining world peace through implementation of America's foreign policy.

Mr. HOLBROOKE advised that he has never been arrested or involved with the legal authorities in any manner; that he has never consulted a psychiatrist nor is there any history of mental disorder throughout his family; that he has never either witnessed or participated in a homosexual act; that he has no investments in foreign countries or foreign corporations; that his use of intoxicants is on a limited social basis and has never constituted a problem for him; that credit facilities have never been refused him nor has he ever been sued for disregarding his financial obligations; and that there is nothing in his background which could not bear public scrutiny. APPLICANT also denied having any sympathy for Communism as a form of government, and he mentioned that no other family members or relatives had done anything to further the cause of the Communist Party.

Mr. HOLBROOKE appeared for the interview neatly and appropriately attired. He exhibited some nervousness and impatience, but apparently responded truthfully. There were no objectionable or effeminate mannerisms evident.

ATTACHMENTS: (to original only)

Standard Forms 8c and 57, with supplemental form.
Two executed Selective Service releases.

SCA:SY/I:WFO:KJRegan:rmx

DCII CHECK REQUEST FORM

** SUBJECT IDENTIFICATION **

PLEASE RETURN TO PSS

ROOM 4371.

b6
b7C

SUBJECT: HOLBROOKE, RICHARD, CHARLES ALBE

DOB: 41/04/24

SSAN: 132-32-3096

OTHER-NAMES:

b6
b7C

CHECK CONDUCTED BY:

ON:

7/1/94

File requested

01 HOLBROOKE, RICHARD, CHARLES

DB=410424 SS=132 3096 PB=36

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*** ?CLEARANCE AGCY=WHS ADJ=93/04/02 ELIG=T INV=88/12/27 BASIS=BI

ACCESS=T

CAT=V

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FILES=

OTHER=

This is a very expedite case. We need to
have this faxed to us by 7/5 or 7/6, no later.
Or if we can receive the microfilm by those dates.

?SEL-NEXT

48

RNTR/PF-4

EXT/PF-5

CMD = --

NUM

33

01 HOLBROOKE, RICHARD, CHARLES

DB=410424 SS=13238096 PB=36

*** ?DOSSIER LOC=DDIS YR=88 NO=264DR105501BCF CTX=SUBJECT RET=15 YRS

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CZIP=A

REV=CLNC

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OTHER=

This is a very expedite case. We need to
have this faxed to us by 7/5 or 7/6, no later.
Or if we can receive the microfilm by those dates.

?SEL-NEXT

48

RNTR/PF-4

EXT/PF-5

CMD = --

NUM

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ADDITIONAL INFORMATION MAY BE
OBTAINED FROM

STATE DEPT.

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1858-1920

HOLBROOKE, RICHARD, CHARLES

FOUND

2/2 88264-0450



DEPARTMENT of DEFENSE
DEFENSE INVESTIGATIVE SERVICE



HOLBROOKE, RICHARD, CHARLES

Ob6 Per DOD

FILE NO:

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41/04/24/36

188172-DR-2-05-183

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SPECIAL INSTRUCTIONS:

It is certified that the material in this file is being retained pursuant to DoD Directive 5200-27, DIS Regulation 20-2 and DIS Manual 28-2.

Date Acquired: SEP 04 1999

Signature: *[Signature]*

RETAIN FOR:

60 Days

1 Year

~~15 Years~~

~~25 Years~~

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DIS Form 3
85 Feb

Previous edition will be used until exhausted.

RETENTION CONTROL SHEET

1. REQUEST FOR PERSONNEL SECURITY INVESTIGATION		2. CODE		3. REQUESTER FILE NO.		4. DATE OF REQUEST	
FROM: Chief, Personnel Security Division, W5, OSD Room 38347 Pentagon, WDC, 203301-1155						JUN 13 1988	
TO: Personnel Investigations Control Center Defense Investigative Service P. O. Box 454 Baltimore, Maryland 21203						5. THIS REQUEST IS FOR: ☐ LIMITED INQUIRY ☒ BACKGROUND INVESTIGATION (BI) ☒ SPECIAL BACKGROUND INVESTIGATION (SBI) ☐ BRING-UP ☐ SBI BRING-UP ☐ OTHER (Specify in Remarks)	
RETURN RESULTS TO: Chief, Personnel Security Division Directorate for Personnel & Security Washington Headquarters Services Room 38347 Pentagon Washington, DC 20301-1155						6. REASON FOR INVESTIGATION: ☒ ACCESS TO MATERIAL CLASSIFIED (Confidential) (Secret) (Top Secret) ☐ NUCLEAR WEAPON POSITION ☐ IMMIGRANT ALIEN CLEARANCE REQUIREMENT ☐ SENSITIVE COMPARTMENTED INFORMATION ☐ TOP SECRET ☐ PRESIDENTIAL SUPPORT ☐ OTHER (Continue in Remarks)	

DO NOT COMPLETE BLOCKS CIRCUMSCRIBED BY HEAVY BLACK LINE ARE FOR DIS INTERNAL USE ONLY

CCN (Case Control Number) (1-15) 88172 DR2 2543 1B3 DD

7. NAME (Last-First-Middle) (Last Name only in Capitals)		8. HOLBROOKE, RICHARD CHARLES		9. OTHER NAMES USED OR KNOWN BY (Continue in Remarks)		10. DATE OF BIRTH (Y-M-D)		11. FORMER SERVICE NO.		12. SERVICE NO.		13. RANK/RATE/GRADE	
Dick						April 24, 1941		36		01		21	
14. PLACE OF BIRTH (City, State)		15. SERVICE		16. RANK/RATE/GRADE		NEW YORK CITY, NY		OSD					

17. LOCAL FILES: ☐ PERSONNEL ☐ BASE/MILITARY POLICE ☐ MEDICAL ☐ SECURITY WERE REVIEWED ON (Date) AND REVEALED: ☐ NO UNFAVORABLE INFORMATION ☐ UNFAVORABLE INFORMATION SUMMARIZED IN REMARKS BELOW		DIS NON-ACCEPTANCE STAMP JUN 26 1988 b6 Per DOD	
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18. HISTORY OF GOVERNMENT EMPLOYMENT, CURRENT MILITARY SERVICE: INDICATED ON ATTACHED PERSONAL HISTORY FORM IS ☐ CORRECT ☐ PARTIALLY CORRECT ☐ COULD NOT BE VERIFIED. (If other than correct is checked, explain in remarks.)		SEP 01 1988	
--	--	-------------	--

19. PRIOR INVESTIGATION: ☐ YES ☐ NO ☐ UNKNOWN (If Yes, reflect type, when made, by whom, and file No.) None		DEFENSE INVESTIGATIVE SERVICE	
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20. REMARKS (Use Continuation Sheets as Required)

REFER TO THIS CASE BY "NAME-SSN-CCN"

DIS CLOSING STAMP

Attached documents forwarded for security determination

DESIRE ADVANCE NOTIFICATION OF HAC RESULTS:

☒ YES ☐ NO

21. ENCLOSURE(S) 22. AUTHORIZED BY

DD 398 & 5 CY DD 221 DD 258

R. G. Dertis (Signature)

Chief, Personnel Security Division/AV254573

(Type Name, Title, and Telephone Number)

GERALD E. CRANE Director, PIC

REF TO THIS CASE BY "NAME-SSN-CCN"

DD FORM 1879 MAY 79 REPLACES AF FORM 1145 JAN 76, WHICH IS OBSOLETE

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DIS REPORT OF INVESTIGATION		DATE: 19 AUG 88		L: 88211	
CODE DIANY	CONTROL 88172-DR2-0543-1B3	STATUS RUC			
DISTRIBUTION				COPY TO	
MADE BY S/A H PANAGIOTOPOULOS, 3016, 2190					
SEX M	FORMER MIL. SV. NO.	BIRTH (DATE) 24 APR 41	(OPC) 36	(PLACE) NEW YORK	
NI TITLE HOLBROOKE, RICHARD CHARLES/CIV-SHEARSON LEHMAN HUTTON					
INVESTIGATIVE RESULTS THE RECORD CHECKS AND INTERVIEWS, AS APPROPRIATE, WERE FAVORABLE AND INTERVIEWEES RECOMMENDED SUBJECT FOR A POSITION OF TRUST, UNLESS OTHERWISE INDICATED. EMPLOYMENT 1. Shearson, Lehman & Hutton, (SLH), New York, NY, from 1 Apr 85 to present. (PSQ reflects dates as 1985 to present). EMPLOYMENT REFERENCES 2. Vincent A. Mai, managing director, SLH, with weekly contact as business associate and friend from 1980 to 1995, and weekly contact as a supervisor and friend from 1985 to present, with six times yearly social contact from 1980 to present. 3. Harrison M. Wilson, Jr. vice-president of investment banking, SLH, with one to two times weekly contact as business associate/co-worker from approximately 1985 to 1987, and approximately monthly contact from 1987 to present. 4. Stephen A. Orlins, managing director, SLH, with approximately six times yearly contact as Subject's attorney from 1977 to 1979; six times yearly contact as a friend from 1979 to 1983; almost daily contact as a friend and co-worker from 1983 to present, with approximately monthly social contact from 1983 to present. DEVELOPED REFERENCES 5. Morton L. Garklow, 32 E. 64th St., New York, NY, with monthly contact as friend from 1983 to 1985, bi-weekly to weekly contact from 1985 to present, with monthly social contact. 6. Peter G. Peterson, chairman of Blackstone Group, 435 E. 52nd St., New York, NY, with approximately two times monthly contact as friend from approximately 1970 to present. TC 7. Peter Tarnoff, president of Council of Foreign Relations, 58 E. 68th St., New York, NY, with daily contact as co-worker and friend from 1964 to 1965; three or four times a year as friend from 1965 to approximately 1978; almost daily contact as friend and co-worker from approximately 1978 to 1981; three or four times yearly contact as friend from 1981 to 1988 and approximately					
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PAGE 1	RJT	HP			

DIS REPORT OF INVESTIGATION		DATE	19 AUG 88	L: 88211
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DISTRIBUTION			COPY TO	
MADE BY				
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SEX	SC	FORMER MIL. SV. NO.	BIRTH (DATE)	(AGE) (PLACE)
M			24 APR 41	36 NEW YORK
NI TITLE				

HOLBROOKE, RICHARD CHARLES/CIV-SHEARSON LEHMAN HUTTON

b6 Per DOD

two to three times weekly contact as friend from 1986 to present.

LOCAL AGENCY CHECK

8. Records of the New York City (NY) Police Department (NYPD), servicing New York, NY could not be searched at this time. NYPD is presently involved in litigation not related to DIS and will not conduct searches of its indices or release information from its records. (S/A D J WALSH)

COURT RECORDS

9. New York City (NY) Criminal Court, New York County, servicing New York, NY. (Record information prior to August 1976 is not obtainable without docket number or exact arrest date.) (S/A WALSH)

FOREIGN TRAVEL

10. Janklow, Mai, and Wilson, fully identified above, advised that Subject travels extensively on company business. References stated that Subject has traveled to Japan, London, and the Philippines. References indicated that (Subject) travels alone and stays approximately two to three days, however they are not certain of exact dates of Subject's travels. References could not provide additional information and were unaware of the details of Subject's trips.

11. Tarnoff, fully identified above, advised that Subject travels extensively throughout Europe, the Far East, Asia, the Middle East and Africa. Tarnoff recalled once when Subject and Lea Gelb, editor of the New York Times traveled for approximately ten days to the Soviet Union on a business trip. Tarnoff knows of no incidents of any foreign nationals approaching Subject for information, nor of any details of his trips.

SUBJECT INTERVIEW

12. An interview of Subject was conducted on 9 Aug 88 as part of a Background Investigation. This interview required 1 hour.

Subject advised that this permanent mailing address is: Upper Church Hill, Rd., New Milford, CT. Subject stated that he visited this home on weekends, approximately 25 to 30 times a year since May 86, however Subject presently resides in New York, NY. Subject further stated that due to his position at Shearson, Lehman, Hutton, he has traveled extensively. Subject was not able to recall actual dates of his travels, however Subject indicated that he traveled to Korea, China, Hong Kong, Singapore, Japan, England, Italy,

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DISTRIBUTION			COPY TO	
MADE BY			b6 Per DOD	
S/A H PANAGIOTOPoulos, 3016, 2190				
SEX	SOC	FORMER MIL. SV. NO.	BIRTH (DATE)	(SPC) (PLACE)
M			24 APR 41	36 NEW YORK

NI TITLE

HOLDBROOKE, RICHARD CHARLES/CIV-SHEARSON LEHMAN HUTTON

France, Spain, Egypt, Australia, New Zealand, Canada, Ireland, and the Philippines, on two to three day business trips. Subject further stated that he has visited Morocco, Kenya, Barbados, Honduras, and Vanautu, South Pacific each for a week vacation. Subject further advised that he has an uncle, Ernie Moos, residing in Ascona, Switzerland; an aunt, Loni Moos Sillerman, residing in Paris France; and an aunt, Beate Hersch, residing in Buenos Aires, Argentina. Subject does not recall their specific addresses and stated that he has contact with each of these relatives approximately once every five years when they are visiting Subject's mother in Scarsdale, NY. Subject further stated that he is currently the holder of a discretionary account in Spain. Subject advised that he has no vested interest in this stock, and has no control over how his \$20,000 investment is spent. Subject provided a copy of his annual stock report which is listed as Attachment (1). Subject stated that he has no other foreign holding or properties.

Subject responded with only favorable information to questions posed about his conduct (including use of alcohol or drugs), employment, school attendance, activities, associates, and personal finances. The questioning developed no criminal conduct, nor any mental problems or treatment, and the responses raised no questions of judgment or reliability. Subject's comments indicated he is loyal to the United States; and reported for himself, family, and associates, no involvement in or advocacy of force to overthrow the U.S. Government, or the use of force or violence to deny others their constitutional/legal rights. Subject denied any personal knowledge of the unauthorized disclosure of classified information, the illegal transfer of U.S. technology, or involvement with any hostile intelligence activity directed against the United States. Subject provided information about his family, activities, associates and personal life, none of which disclosed any adverse or questionable areas indicative of his susceptibility to coercion, pressure, or blackmail to act against the United States.

Subject was completely cooperative, responded to all questions without hesitation, and expressed no reservations about the holding of a security clearance.

ATTACHMENTS

(1) Copy of Subject's Foreign Stock Holdings

END OF THIS DOCUMENT

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Entidad Delegada del Tesoro

INTERAGENTES, S.A.

Sociedad Instrumental de Agentes de Cambio y Bolsa Colegiados

File

MR. RICHARD HOLBROOKE
WORLD FINANCIAL CENTER
NEW YORK 10285
U.S.A.

Madrid, 07 de Junio de 1.988.

Muy señor/es nuestro/s:

Nos complace remitirle/s su cartera de Valores, al 31 de Mayo de 1.988, así como la relación de las operaciones efectuadas durante dicho mes de Mayo.

Sin otro particular, aprovechamos la ocasión para saludarle/s muy atentamente,

R. Rodríguez

Fdo.: Ramón Rodríguez Casado

ANEXO: Citado.
VH/ac.

Sede Central:
Ruiz de Alarcón, 7 - 28014 Madrid
Tel: 417 47 170 - Telex: 30406 INTERA E

Delegaciones:
BARCELONA - PAMPLONA - SEVILLA

atcn (1)

DIS REPORT OF INVESTIGATION		DATE		I: 88172	
CODE	CONTROL	STATUS			
D15DC	88172-DR2-0543-1B3	RUC			
DISTRIBUTION				COPY TO	
				b6 Per DOD	
MADE BY					
S/A SJ CORBETT, 2180, 55					
SEX	FORMER MIL. SV. NO.	BIRTH (DATE)	(GPC)	(PLACE)	
M		24 APR 41	36	NEW YORK	
NI TITLE					
HOLBROOKE, RICHARD CHARLES/CIV					
INVESTIGATIVE RESULTS THE RECORD CHECKS AND INTERVIEWS, AS APPROPRIATE, WERE FAVORABLE AND INTERVIEWEES RECOMMENDED SUBJECT FOR A POSITION OF TRUST, UNLESS OTHERWISE INDICATED. UNLESS OTHERWISE INDICATED ALL ADDRESSES ARE IN WASHINGTON, DC EMPLOYMENT 1. Subject's listed self-employment with Public Strategies (PS), 2550 M. Street, NW, from 1981 to 1985 was verified by Johnson, fully identified under the listed reference caption, who was Subject's sole partner at PS. Johnson advised that PS did consultant work for foreign firms, particularly in Asia, which were interested in marketing in the United States. LISTED REFERENCES 2. James A. Johnson, Managing Director, 1627 I. Street, NW, 20006, with almost daily contact as classmates and friends from 1969 to 1970, monthly contact as friends from 1970 to 1976, almost daily contact as work associates and friends from 1976 to 1981, almost daily contact as co-workers and friends from 1981 to 1985 and monthly contact as work associates and friends from 1985 to present. (Tb) 3. Clark M. Clifford, Lawyer, 815 Connecticut Ave., NW, 20006, with monthly contact as work associates and friends from 1969 to 1985, almost monthly contact as work associates and friends from 1985 to 1987 and weekly telephonic and twice monthly contact as partners in a publishing project and friends from 1987 to present. DEVELOPED REFERENCES 4. Michael H. Armicost, Under Secretary of State for Political Affairs, 2201 C. St., NW, 20024, with daily contact as work associates from 1977 to 1981, monthly contact as professional associates from 1981 to 1985 and almost monthly contact as professional associates from 1985 to present. (Tc) 5. All efforts to develop references in the Washington, DC area who have had social contact with Subject during the period of investigation through contact with listed character references, professional associates and a neighborhood investigation were unsuccessful. LOCAL AGENCY CHECKS					
CLASSIFICATION			WARNING		
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SEX	SOCIAL SECURITY NO.	FORMER MIL. SV. NO.	BIRTH (DATE)	IGPC	PLACE
M			24 APR 41	36	NEW YORK

NI TITLE
HOLBROOKE, RICHARD CHARLES/CIV

6. Metropolitan Police Department. (I/T VP NUGENT, 55)

-----END OF THIS DOCUMENT-----

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PAGE	2	BAP	SJC	JMN
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DEPARTMENT OF DEFENSE - DEFENSE INVESTIGATIVE SERVICE
STANDARD SYSTEM DOCUMENT DIS FORM 1 (9-72)

DIS REPORT OF INVESTIGATION		DATE	23 AUG 88		L: 88232
CODE	CONTROL	STATUS			
DI1NH	88172-DR2-0543-1B3	RUC			
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S/A K M D'AMELIO, 1692					
SEX	FORMER MIL. SV. NO.	BIRTH (DATE)	IGCI	PLACE	
M		24 APR 41	36	NEW YORK	

NI TITLE
HOLBROOKE, RICHARD CHARLES/CIV... SHEARSON-LEHMAN-HUTTON

A/DICK

INVESTIGATIVE RESULTS

THE RECORD CHECKS AND INTERVIEWS, AS APPROPRIATE, WERE FAVORABLE AND INTERVIEWEES RECOMMENDED SUBJECT FOR A POSITION OF TRUST, UNLESS OTHERWISE INDICATED.

LOCAL AGENCY CHECKS

1. State Bureau of Identification, Connecticut State Police, Meriden, CT, a central record repository servicing all towns and communities in the state of CT.

-----END OF THIS DOCUMENT-----

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PAGE	1	MDM	KMD	TSJ
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DEPARTMENT OF DEFENSE - DEFENSE INVESTIGATIVE SERVICE
STANDARD SYSTEM DOCUMENT DIS FORM 1 (9-72)

DIS REPORT OF INVESTIGAT		DATE	31-ACG-88	LI 882
CODE	CONTROL	STATUS		
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	66 Per DOD

MADE BY				
S/A N A SOUCIE, 1925				
SEX	SOCIAL SECURITY NO.	FORMER MIL. SV. NO.	BIRTH DATE	ICPC
M			24 APR 41	36
NI TITLE	PLACE			
	NEW YORK			

HOLBROOKE, RICHARD CHARLES/CIVILIAN, SHEARSON LEHMAN HUTTON

INVESTIGATIVE RESULTS

THE RECORD CHECKS AND INTERVIEWS, AS APPROPRIATE, WERE FAVORABLE AND INTERVIEWEES RECOMMENDED SUBJECT FOR A POSITION OF TRUST, UNLESS OTHERWISE INDICATED.

LOCAL AGENCY CHECKS

1. Police Dept., New Milford, CT.

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DIS REPORT OF INVESTIGATION		DATE: 06/07/88	
CODE D0620	CONTROL 88172-DR2-0543-1B3	STATUS RUC	
DISTRIBUTION		COPY TO b6 Per DOD	
MADE BY DIS/PIC			
SEX M	SECURITY NO.	FORMER MIL. SV. NO.	BIRTH DATE 24 APR 41
		GPIC	PLACE NEW YORK
NI TITLE HOLBROOKE RICHARD CHARLES			

CREDIT
REVIEW OF CREDIT BUREAU RECORDS COVERING THE FOLLOWING LOCATIONS
DISCLOSED NO UNFAVORABLE INFORMATION-

NEW YORK, NY

WASHINGTON, D.C.

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ROI	PAGE 1 LAST		

DEPARTMENT OF DEFENSE - DEFENSE INVESTIGATIVE SERVICE
STANDARD SYSTEM DOCUMENT DIS FORM 1 (9-72)

14a. MARITAL STATUS		b. NAME OF FORMER SPOUSE(S)		c. DATE(S) OF PRIOR MARRIAGE(S)		d. PLACE	
MARRIED	UNMARRIED	Lillian Sullivan		1964-1977			
LEGALLY SEPARATED	DIVORCED	Blythe Babyak		1977-1979			
		e. DATE OF DIVORCE		f. COURT		g. LOCATION	
		1974; 1980					

15. EDUCATION (List in chronological order, beginning with the last school attended.) (See DETAILED INSTRUCTIONS.)

a. DATES		b. NAME OF SCHOOL	c. ADDRESS	d. MAJOR	e. DEGREE
FROM	TO				
1952	1958	Scarsdale High School	Scarsdale, NY		
1958	1962	Brown University	Providence, RI	History	B.A.
1969	1970	Woodrow Wilson (Princeton)	Princeton, NJ	Fellowship	

16. CREDIT REFERENCES (Complete this item only if you lived overseas within the past 5 years. List 3 individuals and/or firms who have extended credit to you during that time period.) (See DETAILED INSTRUCTIONS.)

a. NAME	b. ACCOUNT NUMBER	c. NUMBER AND STREET	d. CITY	e. STATE	f. ZIP CODE

17. CHARACTER REFERENCES (List 3 good friends, co-workers, colleagues, classmates, etc.) (See DETAILED INSTRUCTIONS.)

a. NAME	b. FROM	c. TO	d. CITY	e. STATE	f. ZIP CODE
	1966	Pres.	New York	NY	10017
	1966	Pres.	New York	NY	10036
	1981	Pres.	New York	NY	10285
	1969	Pres.	Washington	DC	20037
	1968	Pres.	Washington	DC	20006

(Attach additional sheets, if necessary.)

b6 Per DOD

13C. One of my clients, 1981-84, at Public Strategies was Hyundai Corporation, of Seoul, Korea. I also do business for my present firm in China & Korea, but not for foreign clients.

18. ORGANIZATIONS

a. (List all organizations, except those referred to below, in which you held membership.)

b. Below, in which you held membership.

I. NAME	II. ADDRESS	III. TYPE	IV. FROM	V. TO
Council on Foreign Relations	58 E. 68 St., NY, NY	Non-profit	1969	Pres.
Intl. Rescue Comm. - Board	368 Park Av So., NY, NY	Non-profit	1983	Pres.
IVE - Board	Washington, D.C.	Non-profit	1976	1979
Century Association	7 W. 43 St, NY, NY	Club	1985	Pres.

b. ("Yes" answers must be explained in accordance with the DETAILED INSTRUCTIONS.)

Yes No

☒	1. Are you now or have you ever been a member of the Communist Party or any Communist organization?
☒	2. Are you now or have you ever been affiliated with any organization, association, movement, group, or combination of persons which advocates the overthrow of our constitutional form of government or which has adopted the policy of advocating or approving the commission of acts of force or violence to deny other persons their rights under the Constitution of the United States or which seeks to alter the form of government of the United States by unconstitutional means?

20. MEDICAL/FINANCIAL ("Yes" answers must be explained in accordance with the DETAILED INSTRUCTIONS.)

Yes No

☒	a. Have you ever used any narcotic, depressant, stimulant, hallucinogen (to include LSD or PCP), or cannabis (to include marijuana or hashish), except as prescribed by a licensed physician?
☒	b. Have you ever been involved in the illegal purchase, possession, or sale of any narcotic, depressant, stimulant, hallucinogen, or cannabis?
☒	c. Has your use of alcoholic beverages (such as liquor, beer, wine) ever resulted in the loss of a job, arrest by police, or treatment for alcoholism?
☒	d. Have you ever been a patient (whether or not formally committed) in any institution primarily devoted to the treatment of mental, emotional, psychological, or personality disorders?
☒	e. Have you ever petitioned to be declared bankrupt?

21. ARRESTS ("Yes" answers must be explained in accordance with the DETAILED INSTRUCTIONS.)

Yes No

☒	a. Have you ever been arrested, charged, cited, or held by Federal, State, or other law enforcement or juvenile authorities, regardless of whether the citation was dropped or dismissed or you were found not guilty? (Include all court martial or non-judicial punishment while in military service. (You may exclude minor traffic violations for which a fine or forfeiture of \$100 or less was imposed.)
☒	b. As a result of being arrested, charged, cited, or held by law enforcement or juvenile authorities, have you ever been convicted, fined by or forfeited bond to a Federal, State, or other judicial authority or adjudicated a youthful offender or juvenile delinquent (regardless of whether the record in your case has been "sealed" or otherwise stricken from the court record)?
☒	c. Have you ever been detained, held in, or served time in any jail or prison, or reform or industrial school or any juvenile facility or institution under the jurisdiction of any city, state, federal, or foreign country?
☒	d. Have you ever been awarded, or are you now under suspended sentence, parole or probation, or awaiting any action on charges against you?

I. DATE	II. NATURE OF OFFENSE OR VIOLATION	III. NAME AND LOCATION OF POLICE AGENCY	IV. NAME AND LOCATION OF COURT	V. PENALTY IMPOSED OR OTHER DISPOSITION IN EACH CASE

I CERTIFY THAT THE ENTRIES MADE BY ME ARE TRUE, COMPLETE, AND ACCURATE TO THE BEST OF MY KNOWLEDGE AND BELIEF AND ARE MADE IN GOOD FAITH. I UNDERSTAND THAT A KNOWING AND WILLFUL FALSE STATEMENT ON THIS FORM CAN BE PUNISHED BY FINE OR IMPRISONMENT OR BOTH. (See U.S. Code, Title 18, Section 1001.)

DATE

June 6, 1988

SIGNATURE OF PERSON COMPLETING FORM (Each copy MUST be individually signed)

RJ IR



DEPARTMENT of DEFENSE
DEFENSE INVESTIGATIVE SERVICE



FILE NO:

HOLBROOKE RICHARD CHARLES

M 41/04/24 36
88264-URI-0550-18C

b6 Per DOD

WARNING

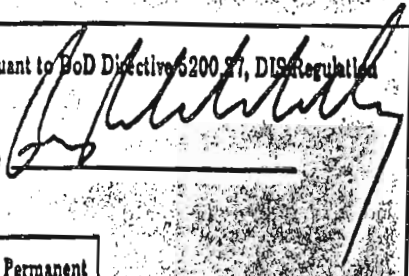
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SPECIAL INSTRUCTIONS:

It is certified that the material in this file is being retained pursuant to DoD Directive 5200.27, DIS Regulation 20-2 and DIS Manual 28-2.

Date Acquired

DEC 27 1988

Signature 

RETAIN FOR:

60 Days	1 Year	15 Years ☒	25 Years	Permanent
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REQUEST FOR PERSONNEL SECURITY INVESTIGATION		1. CODE DDA	2. REQUESTER FILE NO.	3. DATE OF REQUEST September 12, 1968
4. FROM: Chief, Personnel Security Division, WBS, OSD Room 3B347 Pentagon, WDC, 20330-1155		5. THIS REQUEST IS FOR: ☐ LIMITED INQUIRY ☐ BACKGROUND INVESTIGATION (IN) (Up to 1000) ☐ SPECIAL BACKGROUND INVESTIGATION (SI) (Up to 1000) ☐ BI BRING UP ☐ SBI BRING UP ☒ OTHER (Specify in Remarks)		
6. TO: Personnel Investigations Control Center Defense Investigative Service P. O. Box 454 Baltimore, Maryland 21203		7. REASON FOR INVESTIGATION: ☒ ACCESS TO MATERIAL CLASSIFIED ☐ NUCLEAR WEAPON POSITION ☐ HARMFUL TO NATIONAL DEFENSE ☐ SENSITIVE COMPARTMENTED INFORMATION ☐ SIOP-ES ☐ PRESIDENTIAL SUPPORT ☐ OTHER (Continue in Remarks)		
8. RETURN RESULTS TO: Chief, Personnel Security Division Directorate for Personnel & Security Washington Headquarters Services Room 3B347 Pentagon Washington, DC 20301-1155		9. DO NOT COMPLETE - BLOCKS CIRCUMSCRIBED BY HEAVY BLACK LINE ARE FOR DIS INTERNAL USE ONLY		
10. NAME (Last-First-Middle) (Last Name only in Captions) DUBROCKE, RICHARD CHARLES		11. OTHER NAMES USED OR KNOWN BY (Continue in Remarks) Dick, Albert		
12. DATE OF BIRTH (Y-M-D) April 24, 1941		13. FORMER SERVICE NO. M		
14. PLACE OF BIRTH (City, State) NEW YORK CITY, NY		15. RANK/RATE/GRADE OSD		
16. LOCAL FILES: ☐ PERSONNEL ☐ BASE/MILITARY POLICE ☐ MEDICAL ☐ SECURITY WERE REVIEWED ON _____ AND REVEALED: ☐ NO UNFAVORABLE INFORMATION ☐ UNFAVORABLE INFORMATION SUMMARIZED IN REMARKS BELOW		17. HISTORY OF GOVERNMENT EMPLOYMENT, CURRENT MILITARY SERVICE: INDICATED ON ATTACHED PERSONAL HISTORY FORM IS ☐ CORRECT ☐ PARTIALLY CORRECT ☐ COULD NOT BE VERIFIED (If other than correct is checked, explain in remarks.)		
18. PRIOR INVESTIGATION: YES ☐ NO ☐ UNKNOWN (If Yes, reflect type, when made, by whom, and file No.) NAC August 29, 1968 DIS		19. REMARKS (Use Continuation Sheets as Required) Request additional coverage be conducted as reflected on attached continuation page.		
20. DESIRE ADVANCE NOTIFICATION OF NAC RESULTS: YES ☐ NO ☐		21. ENCLOSURES: ID 398		
22. AUTHORIZED BY: R. G. Dertis Chief, Personnel Security Division/72254573 (Type Name, Title, and Telephone Number)		23. DIS CLOSING STAMP: Attached documents forwarded for security termination of security clearance DEC 2, 1968 DEFENSE INVESTIGATIVE SERVICE REFER TO THIS CASE BY "NAME-SSN-CCN" GERALDINE M. GRANT Director, PIC		

DD FORM 1079

REPLACES AF FORM 1100, 11-64, AND AF FORM 1100-1, 11-64, WHICH ARE OBSOLETE
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HOLBROOKE, Richard Charles, SSN: [REDACTED]

b6 Per DOD

IBI, DIS, 1 September 1988, 88172-DR2-0543-1B3

A Developed Reference reported that Mr. Holbrooke spent 10 days in the Soviet Union on a business trip. Source did not provide dates. SUBJECT did not list this travel on his 6 Jun 1988 DD 398, nor did he list his 1975 travel to East Germany.

Please interview Mr. Holbrooke to obtain dates and details of all foreign travel and associations which were not provided on his DD 398 and in his 9 Aug 88 interview, with particular emphasis on designated countries/associations.

A Department of State Investigation indicates that Mr. Holbrooke was once a member of The Fair Play for Cuba Committee. Request he be questioned regarding this alleged membership.

DIS REPORT OF INVESTIGATION		DATE	21 DEC 88		11 88270
CODE	CONTROL	STATUS			
DI4NY	88264-DR1-0550-1BC	RUC			
DISTRIBUTION		COPY TO			
MADE BY		b6 Per DOD			
S/A R A CALUPPO, 2440					
SEX	FORMER MIL. SV. NO.	BIRTH DATE	(GPC)	(PLACE)	
M		24 APR 41	36	NEW YORK	
NI TITLE					

HOLBROOKE, RICHARD CHARLES/CIVILIAN, SHEARSON LEHMAN HUTTON

SUBJECT INTERVIEW

1. On 13 Dec 88 Subject was re-interviewed to obtain additional information pertaining to his foreign travel, specifically to the Soviet Union and East Germany, and pertaining to his alleged former membership in The Fair Play for Cuba Committee. Regarding his foreign travel, Subject stated he previously advised he has done extensive travel to between 60 and 90 foreign countries, both in an official capacity for the U.S. government, and for business purposes. Subject could not recall exactly what information he provided during his interview on 9 Aug 88, but in discussing his foreign travel, a trip he made to the Soviet Union from 6 Mar 83 to 17 Mar 83 may have been overlooked, as well as being inadvertently omitted from his PSQ. Subject advised this trip was made with listed reference Leslie M. Gelb, editor of the New York Times, at the invitation of the Institute of US and Canadian Affairs, and was basically an orientation/educational trip to the cities of Moscow and Kiev. No lasting contacts resulted from this trip. Subject further advised that subsequent to his prior Subject Interview, he visited the Soviet Union again, from 26 Sep 88 to 5 Oct 88. This trip to Vladivostok was made along with more than 100 other delegates from 36 countries, at the invitation of the Soviet government. The purpose was to attend an international conference which was designed to promote Mikhail Gorbachev's new policy in Asia and the Pacific. Subject stated he was de-briefed by other US government agencies at the conclusion of this trip, and further stated he wrote an article about the trip which appeared in the 17 Oct 88 issue of Newsweek magazine. Subject stated that much of his foreign travel was done as a member of the Foreign Service Office from about 1962 to 1972, and as Assistant Secretary of State during the Carter Administration, from 1977 to 1981. Subject further stated he makes occasional business trips to South Korea and the People's Republic of China in connection with his current employment. Most recently, he made two day trips to Beijing, China in Jan 88 to help set up an American Express center in that city. Regarding travel to East Germany, Subject stated that in approximately Sep 75 while attending a conference in West Berlin, he took a one day trip into East Berlin to see the city. This trip was inadvertently omitted from Subject's PSQ, and Subject could not recall if this trip was discussed during his prior Subject Interview. Subject stated no attempt was made to conceal or misrepresent any information pertaining to his foreign travel. Concerning his alleged membership in The Fair Play for Cuba Committee, Subject stated he did not recognize the name of this organization, and he could not recall ever belonging to or being affiliated with this group or any group involving Cuba. Subject conjectured that while attending college at Brown University he may have had exposure to such a group, as well as

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PAGE 1
RCB RAG CCC

DIS REPORT OF INVESTIG ON 21 DEC 88 11 8 70

CODE CONTROL 88264-DRI-0550-1BC STATUS RUC

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MADE BY S/A R A GALUPPO, 2440

SEX M FORMER MIL. SV. NO. BIRTH DATE 24 APR 41 NGPI 36 PLACE NEW YORK

NI TITLE HOLBROOK, RICHARD CHARLES (CIVILIAN, SHEARSON LEHMAN HUTTON)

various other groups on campus, but again he could not recall any involvement with such a group.

LISTED REFERENCES

2. Efforts to interview listed reference Gelb to verify Subject's foreign travel to the Soviet Union in 1983 were unsuccessful as Gelb has not responded to requests to contact writer.

-----END OF THIS DOCUMENT-----

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PAGE 2 RCB RAG CCC

DEPARTMENT OF DEFENSE - DEFENSE INVESTIGATIVE SERVICE

**DEPARTMENT OF DEFENSE
PERSONNEL SECURITY QUESTIONNAIRE (BI/SBI)**

FOR DIS USE ONLY

1. a. LAST NAME-FIRST NAME-MIDDLE NAME Holbrooke, Richard Charles		b. MAIDEN NAME (if any)	
2. ALIASES DICK		MEMBER	
4. DATE OF BIRTH (Year-Month-Day) 1941/04/24		5. PLACE OF BIRTH a. CITY NYC b. COUNTY c. STATE NY d. COUNTRY USA	
6. a. CIVILIAN	c. GRADE	d. IF MILITARY:	ARMY AIR FORCE NAVY MARINE CORPS

b6 Per DOD

7. IDENTIFYING DATA							
a. SEX M	b. RACE Caucasian	c. HEIGHT 6'1"	d. WEIGHT 195	e. COLOR OF HAIR Br	f. COLOR OF EYES Bl		
8a. U.S. CITIZEN	c. NATIVE ☒ YES ☐ NO	d. IF NATURALIZED, CERTIFICATE NO.(S)	e. IF DERIVED, PARENT(S) CERTIFICATE NO.(S)	f. DATE	g. PLACE	h. COURT	
9. ALIEN	i. REGISTRATION NO.	j. CURRENT CITIZENSHIP	k. DATE OF ENTRY	l. PORT OF ENTRY	m. FORM 1-181 NO.		

8. FORMER MILITARY SERVICE					
a. FROM	b. TO	c. BRANCH	d. RANK	e. SERVICE NO.(S)	f. TYPE OF DISCHARGE
NONE					

10. FAMILY ASSOCIATES (List father, mother, spouse, and children.) (See DETAILED INSTRUCTIONS for others to be listed.)				
a. RELATIONSHIP AND NAME	b. DATE OF BIRTH	c. PLACE OF BIRTH	d. ADDRESS	e. CITIZENSHIP
FATHER Deceased				
MOTHER (Maiden Name) Trudi Moos			344 Sprain Rd. Scarsdale, NY 10583	USA
SPOUSE (Maiden Name)				

b6 Per DOD

11. RESIDENCES (List in chronological order beginning with the current address. Give the inclusive dates for each period of residence.) (See DETAILED INSTRUCTIONS.)					
a. DATES	b. NUMBER AND STREET	c. CITY	d. STATE	e. COUNTRY	f. ZIP CODE
FROM TO					
Jan. 88 Present	3 Mitchell Place	New York	NY	USA	10017
1981 1987	1215 29th St., NW *	Washington	DC	USA	20007
*also, commuting to NYC, staying for short time in various places					

12. DUTY OR EMPLOYMENT ORGANIZATION (List in chronological order beginning with the present, each period of employment, self-employment, part-time employment, and/or unemployment. List inclusive dates for each period. If discharged for cause from any employment, so state. See DETAILED INSTRUCTIONS.)					
a. DATES	b. NAME OF EMPLOYER	c. ADDRESS	d. NAME OF IMMEDIATE SUPERVISOR		
FROM TO					
1985 Present	Shearson Lehman Hutton	200 Vesey St, NY 10285			
1981 1985	Public Strategies - VP	2550 M St., NW, Wash.DC20037			
1977 1981	State Department	"C" St., Wash, DC			
1972 1977	"Foreign Policy" Magazine	11 Dupont Circle, Wash, DC			

13. FEDERAL SERVICE, FOREIGN TRAVEL/CONNECTION ("Yes" answers must be explained in Item 18 in accordance with DETAILED INSTRUCTIONS.)		FOR DIS RETURN RESULTS TO: PERSONNEL INVESTIGATIONS CENTER DEFENSE INVESTIGATIVE SERVICE P.O. BOX 454 BALTIMORE, MARYLAND 21203
Yes No	a. HAVE YOU EVER BEEN IN THE FEDERAL CIVIL SERVICE?	
☒ ☐	b. HAVE YOU TRAVELED OR RESIDED ABROAD FOR OTHER THAN THE U.S. GOVERNMENT?	
☒ ☐	c. DO YOU HAVE ANY FOREIGN PROPERTY OR BUSINESS CONNECTIONS, OR HAVE YOU EVER BEEN EMPLOYED BY OR ACTED AS A CONSULTANT FOR A FOREIGN GOVERNMENT, FIRM, OR AGENCY?	

14. MARITAL STATUS		a. NAME(S) OF FORMER SPOUSE(S) Larilla Sullivan Blythe Babvak		b. DATE(S) OF PRIOR MARRIAGE(S) 1964-1974 1977-1979		c. PLACE	
MARRIED	UNMARRIED						
LEGALLY SEPARATED	DIVORCED	d. DATE OF DIVORCE 1974, 1980		e. COURT		f. LOCATION	
15. EDUCATION (List in chronological order, beginning with the last school attended.) (See DETAILED INSTRUCTIONS.)							
g. DATES		h. NAME OF SCHOOL		i. ADDRESS		j. MAJOR	
FROM	TO					k. DEGREE	
1952	1958	Scarsdale High School		Scarsdale, NY		History B.A.	
1958	1962	Brown University		Providence, RI		Fellowship	
1969	1970	Woodrow Wilson (Princeton)		Princeton, NJ			
16. CREDIT REFERENCES (Complete this item only if you lived overseas within the past 5 years. List 3 individuals and/or firms who have extended credit to you during that time period.) (See DETAILED INSTRUCTIONS.)							
a. NAME		b. ACCOUNT NUMBER		c. NUMBER AND STREET		d. CITY	
						e. STATE	
						f. ZIP CODE	
17. CHARACTER REFERENCES (List 3 good friends, co-workers, colleagues, classmates, etc.) (See DETAILED INSTRUCTIONS.)							
		b. FROM		c. TO		d. CITY	
		1966 Pres.				New York NY 10017	
		1966 Pres.				New York NY 10036	
		1981 Pres.				New York NY 10285	
		1969 Pres.				Washington DC 20037	
		1968 Pres.				Washington DC 20006	

13C. One of my clients, 1981-84, at Public Strategies was Hyundai Corporation, of Seoul, Korea. I also do business for my present firm in China & Korea, but not for foreign clients.

106 Per DOD

18. ORGANIZATIONS

a. (List all organizations, except those referred to below, in which you hold or have held membership.)

b. Below, in which you hold or have held membership.

I. NAME	II. ADDRESS	III. TYPE	IV. FROM	V. TO
Council on Foreign Relations	58 E. 68 St., NY, NY	Non-profit	1969	Pres.
Intl. Rescue Comm. - Board	368 Park Av So., NY, NY	Non-profit	1983	Pres.
IVS - Board	Washington, D.C.	Non-profit	1976	1979
Century Association	7 W. 43 St., NY, NY	Club	1985	Pres.

b. ("Yes" answers must be explained in accordance with the DETAILED INSTRUCTIONS.)

Yes	No	
☒	☐	1. Are you now or have you ever been a member of the Communist Party or any Communist organization?
☒	☐	2. Are you now or have you ever been affiliated with any organization, association, movement, group, or combination of persons which advocates the overthrow of our constitutional form of government or which has adopted the policy of advocating or approving the commission of acts of force or violence to deny other persons their rights under the Constitution of the United States or which seeks to alter the form of government of the United States by unconstitutional means?

20. MEDICAL/FINANCIAL ("Yes" answers must be explained in accordance with the DETAILED INSTRUCTIONS.)

Yes	No	
☒	☐	a. Have you ever used any narcotic, depressant, stimulant, hallucinogen (to include LSD or PCP), or cannabine (to include marijuana or hashish), except as prescribed by a licensed physician?
☒	☐	b. Have you ever been involved in the illegal purchase, possession, or sale of any narcotic, depressant, stimulant, hallucinogen, or cannabine?
☒	☐	c. Has your use of alcoholic beverages (such as liquor, beer, wine) ever resulted in the loss of a job, arrest by police, or treatment for alcoholism?
☒	☐	d. Have you ever been a patient (whether or not formally committed) in any institution primarily devoted to the treatment of mental, emotional, psychological, or personality disorders?
☒	☐	e. Have you ever petitioned to be declared bankrupt?

21. ARRESTS ("Yes" answers must be explained in accordance with the DETAILED INSTRUCTIONS.)

Yes	No	
☒	☐	a. Have you ever been arrested, charged, cited, or held by Federal, State, or other law enforcement or juvenile authorities, regardless of whether the citation was dropped or dismissed or you were found not guilty? (Include all court martial or non-judicial punishment while in military service. (You may exclude minor traffic violations for which a fine or forfeiture of \$100 or less was imposed.)
☒	☐	b. As a result of being arrested, charged, cited, or held by law enforcement or juvenile authorities, have you ever been convicted, fined by or forfeited bond to a Federal, State, or other judicial authority or adjudicated a youthful offender or juvenile delinquent (regardless of whether the record in your case has been "sealed" or otherwise stricken from the court record)?
☒	☐	c. Have you ever been detained, held in, or served time in any jail or prison, or reform or industrial school or any juvenile facility or institution under the jurisdiction of any city, state, federal, or foreign country?
☒	☐	d. Have you ever been awarded, or are you now under suspended sentence, parole or probation, or awaiting any action on charges against you?

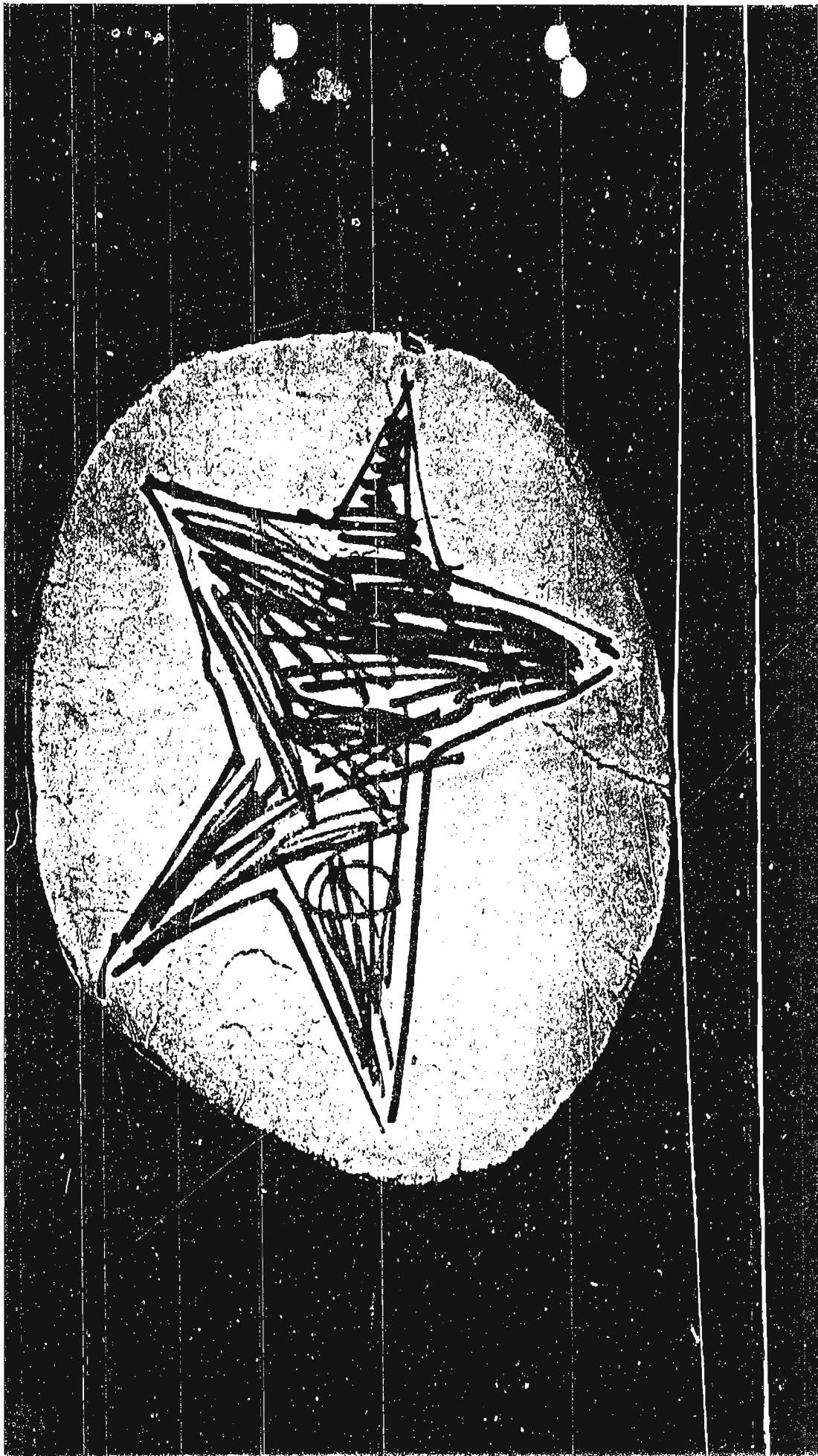
I. DATE	II. NATURE OF OFFENSE OR VIOLATION	III. NAME AND LOCATION OF POLICE AGENCY	IV. NAME AND LOCATION OF COURT	V. PENALTY IMPOSED OR OTHER DISPOSITION IN EACH CASE

I CERTIFY THAT THE ENTRIES MADE BY ME ARE TRUE, COMPLETE, AND ACCURATE TO THE BEST OF MY KNOWLEDGE AND BELIEF AND ARE MADE IN GOOD FAITH. I UNDERSTAND THAT A KNOWING AND WILLFUL FALSE STATEMENT ON THIS FORM CAN BE PUNISHED BY FINE OR IMPRISONMENT OR BOTH. (See U.S. Code, Title 18, Section 1001.)

DATE
June 6, 1988

SIGNATURE OF PERSON COMPLETING FORM (Each copy MUST be individually signed)

[Signature]



This information is furnished in response to an inquiry for the purpose of evaluating credit risks. It has been obtained from sources deemed reliable, the accuracy of which this organization does not guarantee. The inquirer has agreed to indemnify that reporting bureau for any damage arising from misuse of this information, and this report is furnished in reliance upon that indemnity. It must be held in strict confidence and complies with the provisions of Public Law 91 - 508, the Fair Credit Reporting Act. Reporting bureau certifies that all Residential Mortgage Credit Reports meet the standards prescribed by FNNMA, FHUAC, FHA, VA & the Farmers Home Administration.

COMMON LANGUAGE FOR CONSUMER CREDIT

ECOA CODES WITH DEFINITIONS

- I - Individual: Account for individual use
- J - Joint: More than one person on account who is contractually liable for payment
- A - Authorized User: When someone is authorized to charge on account but not responsible for payment
- S - Shared Account: Account unable to distinguish if joint or authorized user
- C - Comaker: When individual has guaranteed the loan should maker default
- B - On behalf of: When individual has signed application for the purpose of securing credit for another individual other than spouse
- M - Maker: This individual is responsible for the account which is guaranteed by a comaker
- U - Undesignated

DATE INDICATORS

- A Automated
- C Closed
- V Verified
- P Paid Out
- M Manually Updated

GLOSSARY OF TERMS

Credit & Account #: Reporting subscriber's name and consumer's account number.

Present Status: Indication of payment condition of the account as of the date reported.

Historical Status: The consumer's payment history.

Date Reported: The date the account status was reported to the credit bureau.

Date Opened: Date the account was opened.

High Credit: The amount of the loan or credit established.

Inquiries: Indicate a credit report was received by the listed subscriber. Inquiries checked for previous 90 days.

Note: Any other additional information needed to complete the Residential Mortgage Credit Report.

***:** Denotes adverse information shown on files.

Source Vendor: Repositories accessed to produce the Residential Mortgage Credit Report.

+ Below: Review below for additional information.

Balance Owning: Current balance on the account as of the reporting date.

Amount Past Due: The amount past due on the account as of the date reported.

No. of Months: The number of months the subscriber reviewed the account with the credit bureau.

Historical Payment History:

	30	60	90
30 days past due date	-	-	-
60 days past due date	-	-	-
90 days past due date	-	-	-

TERMS OF SALE

Open Account (30 days or 90 days) _____ O
 Revolving or Option (Open end a/c) _____ R
 Installment (fixed number of payments) _____ I

USUAL MANNER OF PAYMENT

	TYPE ACCOUNT		
	O	R	I
Too new to rate, approved but not used	0	0	0
Pays (or paid) within 30 days of billing; pays account as agreed	1	1	1
Pays (or paid) in more than 30 days, but not more than 60 days, or not more than one payment past due	2	2	2
Pays (or paid) in more than 60 days, but not more than 90 days, or two payments past due	3	3	3
Pays (or paid) in more than 90 days, but not more than 120 days, or three or more payments past due	4	4	4
Account is at least 120 days overdue but is not yet rated "9"	5	5	5
Making regular payments under Wage Earner Plan or similar arrangement	7	7	7
Repossession, (indicate if it is a voluntary return of merchandise by consumer)	8	8	8
Bad debt placed for collection; skip	9	9	9



CBR MORTGAGE SERVICES

RESIDENTIAL MORTGAGE CREDIT REPORT

2 OF 3



PREPARED FOR:

Report No.	Loan #	Requested By	Date Ordered	Report Type	Date Completed	Repository Source
1323230961			07/05/94	INFIL	07/05/94	TU, TRW
Other Information:						

BORROWER **CO-BORROWER**

HOLBROOKE, RICHARD CHARLES ALB	AKA Name SSN/DOB
--------------------------------	------------------------

Marital Status	Number of Dependents
Current Address:	
Previous Address:	
Previous Address:	

Present Employer
Since/Income Position Verified By
Previous Employer
Since/Income Position Verified By

PUBLIC RECORDS CERTIFICATION

Reporting bureau certifies that public records have been checked through the use of a qualified public records reporting service with the following results:

BELOW
BORROWER**NONE**
CO-BORROWER**CREDIT HISTORY**

E C O A	Creditor Name and Account Number	Date Reported	Date Opened	High Credit	Present Status		Type & Terms	Historical Status			Rating / Comments
					Balance Owing	Amount Past Due		Months Behind	Times Past Due		
								30	60	90	
	***** INQUIRY *****										
ECOA	SUBNAME	SUBCODE			TYPE	AMT					DATE
I	CBR	E0001500									07/05/94
	***** PUBLIC RECORD *****										
	SOURCE	DATE	LIAB	DATE PD	DOCKET NUM	DESCRIPTION					
	3041312	06/91	\$100		06200382	STAT TX LN					
					9106200382						
	Z 5087973	08/91	\$123		91218000736						
	3041312	08/91	\$100		08120602	STAT TX LN					
					9108120602						
	3041312	11/91	\$100		11210799	STA TX REL					
					9111210799						
	3041312	11/91	\$100		11210600	STA TX REL					
					9111210800						
	Z 4847010	12/90	\$8539		9999999999	FINANCE					
					NYC DEPT OF						
	1011035	12/90	\$8500		00000001	JUDGEMENT					
					NYC DEPT OF	FINANCE					
	1011035	12/90	\$8500		00122090	JUDGEMENT					
					122090	NYC DEPT OF					

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CBR MORTGAGE SERVICES

1 OF 3



RESIDENTIAL MORTGAGE CREDIT REPORT

Jul 18 11 11 AM '94

MORTGAGE REPORTING DIV 7502 CONNELLEY DR. HANOVER, MD 21076 (410) 766-2600

PREPARED FOR: 100700
FBI JEH BLD RM 4450 TL 114
10TH & PENNSYLVANIA AVE NW
WASHINGTON, DC 20535

\$00.00

Report No.	Loan #	Requested By	Date Ordered	Report Type	Date Completed	Repository Source
1323230961		V FLOOD	07/05/94	INFIL	07/05/94	TU, TRW
Other Information:						

BORROWER	CO-BORROWER
HOLBROOKE, RICHARD CHARLES ALB 132-32-3096	
AKA Name SSN/DOB	

Marital Status	Number of Dependents
Current Address: 213 E 71ST ST, NEW YORK, NY 10001	---
Previous Address:	
Previous Address:	

Present Employer	
Since/Income Position Verified By	
Previous Employer	
Since/Income Position Verified By	

PUBLIC RECORDS CERTIFICATION

Reporting bureau certifies that public records have been checked through the use of a qualified public records reporting service with the following results:

BELOW
BORROWERNONE
CO-BORROWER

CREDIT HISTORY

E C O A	Creditor Name and Account Number	Date Reported	Date Opened	High Credit	Present Status		Type & Terms	Historical Status				Rating / Comments
					Balance Owing	Amount Past Due		Months Reviewed	30	60	90	
I	ATL RES MTG 7666002513	04/94A	02/87	\$185000	\$125786		R/E \$16851	1	0	0	0	M1 AS AGREED
I	AMERICAN EXP 37294	06/94A	05/72	\$1957	\$1957		OPN	48	0	0	0	O1 AS AGREED
I	AMERICAN EXP 37137	04/94A	10/89	UNK	\$0		OPN	4	0	0	0	O1 PAID SATIS
I	ATT UNIV CRD 539855001113	12/93A	07/90	\$8000	\$0		CHG REV	14	0	0	0	R1 PAID SATIS
I	ATT UNIVERSAL 539680001814	06/94A	10/93	\$8000	\$0		CRC REV	6	0	0	0	R1 CURR ACCT
I	BLOOMINGDALE B 4577090	06/94A	10/YR	\$1500	\$0		CHG REV	24	0	0	0	R1 CURR ACCT
I	CHASE HM MTG 3118360260	01/92A	01/91	\$315000	\$0		R/E \$262013	13	0	0	0	M1 PAID SATIS
I	FST ADVTGE 4710076398	08/93A	02/87	\$185000	\$0		R/E \$16928	28	0	0	0	M1 PAID SATIS
U	SEARS 545044374	06/94A	10/YR	UNK	\$0		CHG REV	24	0	0	0	R1 CURR ACCT

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***** TRW DECODE *****
* Your Company Name *

DATE: 07-19-1994 TIME: 07:44:03 SUBJECT ID: DECODE

CODE BCA2 3998989,1011035,3041312

SUB-1011035	TEL-* - -	NAME-NEW YORK COUNTY REG
BRCH-CIV CL JUDG		ADDR-60 CENTRE STREET
CITY-NEW YORK		STATE-NY ZIP-10007

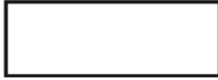
SUB-3041312	TEL-916-440-6334	NAME-SACRAMENTO CNTY REC
BRCH-STA TX LN		ADDR-600 8TH STREET
CITY-SACRAMENTO		STATE-CA ZIP-95814

-----END OF REPORT

*** END OF REPORT ID: 07-19-1994/07:44:03 (ORN: 3519) [B-0/F-0/P-0/O-0] ***

July 5, 1994

b6
b7C



Credit called back on those credit accounts that you needed decoded.

304312 - This was a State Tax Lien
Sacramento County Records
600 Eight Street
Sacramento, CA 95814
(916) 440-6334

Z508... Sacramento County Records
720 9th Street
Sacramento, CA 95814
(916) 440-6334

Z484... Manhattan Civil Court
111 Century Street
New York, NY 10013
(718) 553-7071

101.... This was a civil judgement
New York County Records
6 Centre Street
New York, NY 10007

06/28/94 12:55 202 376 3
JUN 28-1994 11:34 FROM SPIN UNIT

OPM/OFI

TO

OPM

P.02

003

June 28, 1994

TO: INVESTIGATION BACKGROUND BRANCH (IBB)
OPM
ATTN: [REDACTED]

FROM: SPECIAL INQUIRY UNIT
FBI HEADQUARTERS

PLEASE SEARCH THE FOLLOWING NAMES THROUGH OPM RECORDS:

NAME	DOB	SSAN
RICHARD CHARLES HOLBROOKE	4/24/41	132-32-3096
ALL THE BI'S SINCE 1971		

NAC 7/1/93 STATE
NO FILE
OFI 7/4/85 AGENCY UNKNOWN

b6
b7c

ANY QUESTIONS, PLEASE CALL [REDACTED]
SPIN UNIT FAX NUMBER IS [REDACTED]

**IMPORTANT
AND URGENT**

FBI/DOJ



SIDC →

**FBI FACSIMILE
COVERSHEET****CLASSIFICATION****PRECEDENCE**

- ☐ Immediate
☒ Priority
☐ Routine

- ☐ Top Secret
☐ Secret
☐ Confidential
☐ Sensitive
☒ Unclassified

Time Transmitted: _____

Sender's Initials: _____

Number of Pages: 17
(including coversheet)To: Legat Bonn

(Name)

Date: 7-5-94

Facsimile number: _____

Attn: Legal Attache

(Name)

From: Special Inquiry (SPIN) Unit, FBIHQ

(Name of Office)

Subject: Richard Charles Albert HolbrookeSPINBuded: 7-13-94

Special Handling Instructions: _____

Originator's Name: _____

Telephone: _____

Originator's Facsimile Number: _____

Approved: JAB/DET

FBI/DOJ

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED

DATE 05-18-2011 BY 60324UCBAW/SB/CMW

 * 07/01/94 NAME CHECK RUN 1 PAGE 1 **
 * 10:55:17 SEARCHER # 539 **
 * SPIN/HOLBROOKE, RICHARD, CHARLES ALBERT (1) X
 * RETURN TO: [] ROOM []
 * R# PROD FRUTD
 * SEARCH TYPE: SP, A, A, , N, N, Y, N

HOLBROOKE, RICHARD, CHARLES

SI
(1) 161-4612-47

HOLBROOKE, RICHARD

NP 190-9058

105-316557-141

109-12-A--WASHINGTON POST 12-19-78

NP 109-12-370-A--WASHINGTON STAR NEWS 11-1-78

HOLBROOKE, RICHARD, CHARLES

SI
(1) 161-4612-47

HOLBROOKE, RICHARD, CHARLES ALBERT

161-4612 15

HOLBROOKE, RICHARD, CHARLES

SI
(1) 161-4612SI
(1) 161-4612-24

HOLBROOK, RICHARD

~~65-74080-1566-ENCL 240~~ 539

HOLBROOKE, RICHARD

~~65-74060-1077-PA~~ 539~~65-74060-330-PA~~ 539~~65-74060-30~~ 539~~65-74080-37~~ 539

HOLBROOKE, RICHARD, C

~~65-74060-1067~~ 539

URGENT

JUL 5 1994

b6
b7C

JUL 0 8 1994

 ** 07/01/94 NAME CHECK RUN 1 PAGE 1 **
 ** 10:56:32 SEARCHER # 539 **
 **
 ** SPIN/KEARL, TRUDI, HOLBROOKE **
 **
 ** RETURN T [REDACTED] ROOM [REDACTED] EXT. **
 ** SUPERVISOR **
 **
 ** R# [REDACTED] PROD [REDACTED] FRUTD [REDACTED] **
 ** SEARCH TYPE: SP, A, A, N, N, N, Y, N **

KEARL, TRUDI, HOLBROOKE

NO 161-4612-18

KEARL, TRUDI (AKA)

SI

~~(1) 161-4612-18~~

Kearl, Trudi, Moos Holbrooke (AKA)

SI

Kearl, Trudi, Moos (AKA)

SI

Kearl, Stanley Mrs (AKA)

SI

Holbrooke, Trudi, Moos (AKA)

SI

Holbrooke, Trudi (AKA)

SI

Moos, Trudi (AKA)

NR

b6
b7C

JUL 08 1994

X 1

```
*****
** 07/01/94                      NAME CHECK                      RUN 1 PAGE 1  **
** 10:58:53                      SEARCHER # 539                 **
**                               **                               **
** SPIN/KEARL, STANLEY          **                               **
**                               **                               **
** RETURN TO: [REDACTED] X [REDACTED] **
**                               **                               **
** SUPERVISOR                      ROOM                      EXT.  **
**                               **                               **
** R# 881 PROD FRUITD **
** SEARCH TYPE: SP, A, A, R, N, N, N, Y, N **
*****
```

NO RECORD

% |

** 07/01/94 NAME CHECK RUN 1 PAGE 1 **
** 10:59:23 SEARCHER # 539 **
**
** SPI [REDACTED] **
**
** RETURN TO: [REDACTED] ROOM [REDACTED] EXT. **
** SUPERVISOR **
**
** R# [REDACTED] PRQD [REDACTED] FRUTD [REDACTED] **
** SEARCH TYPE: SP, A, A, , N, N, N, Y, N **

b6
b7C

Neo 161-4612-3 *Per*

JUL 08 1994

% 1

** 07/01/94 NAME CHECK RUN 1 PAGE 1 **
** 10:59:44 SEARCHER # 539 **
**
** SPIN [REDACTED] **
**
** RETURN TO: [REDACTED] ROOM X [REDACTED] **
** SUPERVISOR **
** R# [REDACTED] PROD [REDACTED] FRUTD [REDACTED] **
** SEARCH TYPE: SP, A, A, R, N, N, N, Y, N **

b6
b7C

NO RECORD

X 1

** 07/01/94 NAME CHECK RUN 1 PAGE 1 **
** 10:59:57 SEARCHER # 539 **
** SPIN [REDACTED] **
** RETURN TO: [REDACTED] ROOM [REDACTED] **
** SUPERVISOR **
** R# [REDACTED] PROD [REDACTED] FRUTD [REDACTED] **
** SEARCH TYPE: SP, A, A, R, N, N, N, Y, N **

NO RECORD

b6
b7c

SSSS PPPP EEEE CCCC I IIII A L
 S P P E C I A A L
 SSSS PPPP C I AAAAA L
 S P C I A A L
 SSSS P EEEE CCCC I IIII A A LLLLL

SPECIAL INQUIRY (SPIN) UNIT
 FEDERAL BUREAU OF INVESTIGATION
 RECORDS/OPERATIONS SECTIONS

DATE: 07/01/94

BUDED: 07/05/94

X NAME SEARCHING UNIT, NEWINGTON ANNEX

X FORWARD TO FILE REVIEW - RM 6712

X RETURN TO: [REDACTED] ROOM 4371, EXT. [REDACTED]

SCOPE OF SEARCH: UNRESTRICTED (ADB)

TYPE OF SEARCH REQUESTED: ALL REFERENCES (SECURITY & CRIMINAL)

FR UTD 1/ , 19 77

SPECIAL INSTRUCTIONS: X SIX WAY PHONETIC

SUBJECT IS DESCRIBED AS FOLLOWS:

NAME: HOLBROOKE, RICHARD, CHARLES ALBERT *

DOB: 04/24/41

POB: NEW YORK, NY *

SSAN: 132-32-3096

LOCALITIES: BENIN, NY, DC

RELATIVES: FR UTD , 19

SPECIAL INSTRUCTIONS: X THREE WAY SEARCH

RELATIONSHIP	NAME	DOB	LOCALITIES
MOTHER	TRUDI HOLBROOKE KEARL AKA: TRUDI HOLBROOKE	09/15/20	GERMANY, FEDERA
STEPFATHER	STANLEY KEARL	12/22/13	NY

b6
b7C

MOTHER	TRUDI MOOS	09/15/20	GERMANY, FEDERA
--------	------------	----------	-----------------

IDENT CHECK ROOM 11262B TUBE JT, ATTN: [REDACTED]

FROM: SPECIAL INQUIRY UNIT, DIV 6, RM 4371, TL# 114
EXT: [REDACTED] ATTN: PSS [REDACTED]

SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE

BUDED: 07/05/94

THE BUREAU HAS BEEN REQUESTED TO CONDUCT AN EXPEDITE BACKGROUND INVESTIGATION OF THE ABOVE-CAPTIONED SUBJECT, WHO IS BEING CONSIDERED FOR PRESIDENTIAL APPOINTMENT. YOU ARE REQUESTED TO CHECK APPROPRIATE INDICES BASED UPON AVAILABLE INFORMATION CONCERNING SUBJECT, EMPLOYMENT, AND ALL CLOSE RELATIVES. IT IS REQUESTED THAT THE RESULTS OF YOUR CHECK, WHETHER POSITIVE OR NEGATIVE, BE INDICATED IN THE SPACES PROVIDED BELOW, AND RELAYED TO THE SPECIAL INQUIRY UNIT, RM 4371, VIA ROUTING SLIP MARKED 'URGENT'.

SUBJECT IS DESCRIBED AS FOLLOWS:

RESULT NAME: RICHARD CHARLES ALBERT HOLBROOKE

DOB: 04/24/41

POB: NEW YORK, NY

SSAN: 132-32-3096

CURRENT ADDRESS: EMBASS BONN, APO AE 09
*, BENIN

EMPLOYMENT: US DEPARTMENT OF STATE

* U S STATE DEPARTMENT * WASHINGTON, DC

b6
b7C

CLOSE RELATIVES

RESULT	NAME	DOB	RESIDENCE
-----	-----	---	-----
-----	* TRUDI HOLBROOKE KEARL	009/15/20	344 SPRAIN RD
-----	AKA: TRUDI HOLBROOKE		SCARSDALE, NY

-----	* TRUDI MOOS	09/15/20	344 SPRAIN RD
-----			SCARSDALE, NY

* UNABLE TO IDENTIFY WITH ARREST RECORD
ON BASIS OF INFORMATION FURNISHED.
FBI IDENTIFICATION DIVISION.

AUG 14 1994 11

CHECK CONDUCTED BY: _____, ON _____

PCN 941867202007 OCA
HOLBROOKE, RICHARD C W 601 04/24/41
MNU SD 132 32 3096 SEX M
USCIC000Z CONFLICT INT CNCL PRT REC
WASHINGTON US 07/05/94
A SEARCH OF THE FINGERPRINTS ON THE ABOVE
INDIVIDUAL HAS FAILED TO DISCLOSE PRIOR ARREST
DATA. IDENTIFICATION DIVISION
07/13/94 FEDERAL BUREAU OF INVESTIGATION

USCIC000Z
CONFLICT OF INTEREST
COUNSEL
THE WHITE HOUSE
WASHINGTON, DC 20500-0001

161-4612

6/10/94
(Date)

TO: FBI (ATTENTION: SPECIAL INQUIRY UNIT ROOM 4371)
FROM: [REDACTED] Special Counsel to the President
SUBJECT: FBI INVESTIGATIONS

b6
b7C

Candidate's Name Richard Holbrooke SSAN 132-32-3096
Date of Birth 4/24/41 Place of Birth New York, NY
Present Address U.S. Embassy Bonn

We request: _____ Copy of Previous Report
_____ Name Check
_____ Expanded Name Check
_____ ☒ Full-Field Investigation
Level I _____ Level II ☒ Level III _____
_____ Limited Update
_____ Other _____

The candidate named above is being considered for:

_____ ☒ Presidential Appointment
_____ ☒ Requiring Senate Confirmation
_____ Not Requiring Senate Confirmation
_____ White House Staff Position

Attachments:

_____ ☒ SF-86
_____ ☒ SF-87 (Fingerprint Card)
_____ SF-86 Supplement
_____ Other _____

Remarks/Special Instructions:

Supplement will be sent next week

OPM sent 7-1-94

THE WHITE HOUSE
WASHINGTON

MEMORANDUM FOR PROSPECTIVE APPOINTEES

FROM: OFFICE OF COUNSEL TO THE PRESIDENT

This memorandum confirms in writing your express consent for the Federal Bureau of Investigation to investigate your background or conduct appropriate file reviews in connection with the consideration of your application for employment.

The FBI investigation will include the collection and use of relevant information concerning your personal history, and it is necessary that you authorize the disclosure of such information to the FBI. Information may be disseminated outside the FBI when necessary to fulfill obligations imposed by law.

By volunteering information concerning activities protected by the First Amendment, it will be assumed that you are expressly authorizing the maintenance of this information in the records of any Federal agency.

If you consent to such inquiries, please sign your name below and return this original memorandum of consent to this office.

Name (please print or type) Holbrooke, Richard Charles Albert

Signature

X R C A

Date

6/24/94

QUESTIONNAIRE FOR
SENSITIVE POSITIONS
(For National Security)

Form approved:
O.M.B. No. 3206-0007
NSN 7540-00-634-4036
86-110

Part 1		OPM USE ONLY		Codes		Case Number											
Agency Use Only (Complete Items A through P using instructions in FPM Supplement 296-33)																	
A Type of Investigation		B Extra Coverage		C Sensitivity Level		D Access		E Nature of Action Code		F Date of Action		Month		Day		Year	
G Geographic Location		H Position Code		I Position Title													
J Location		K Location of Official Personnel Folder		None		Other Address										ZIP Code	
L Location		M Location of Security Folder		None		Other Address										ZIP Code	
N OPAC-ALC Number				O Accounting Data and/or Agency Case Number													
P Requesting Official		Name and Title		Signature		Telephone Number		FTS ()		Date							
Persons completing this form should begin with the questions below. Please type or print your answers.																	
1 FULL NAME		• If you have only initials in your name, use them and State (IO). • If you have no middle name, enter "NMN."				• If you are a "Jr.," "Sr.," "II," etc., enter this in the box after your middle name.				2 DATE OF BIRTH							
Last Name		First Name		Middle Name		Jr., II, etc.		Month		Day		Year					
HOLBROOKE		Richard		Charles Albert				04		24		41					
3 PLACE OF BIRTH		• Use the two letter code for the State.				4 SOCIAL SECURITY NUMBER											
City		County		State		Country (if not in the United States)		11312		312		3101916					
New York City				NY													
5 OTHER NAMES USED		Give other names you used and the period of time you used them (for example: your maiden name, name(s) by a former marriage, former name(s), alias(es), or nickname(s)). If the other name is your maiden name, put "nee" in front of it.															
Name		Month/Year		Month/Year		Name		Month/Year		Month/Year		Name		Month/Year		Month/Year	
		To						To						To			
Name		Month/Year		Month/Year		Name		Month/Year		Month/Year		Name		Month/Year		Month/Year	
		To						To						To			
6 OTHER IDENTIFYING INFORMATION		Height (feet and inches)		Weight (pounds)		Hair Color		Eye Color		Sex (mark one box)							
		6 ft., 1 in.		205 lbs.		Brown		Blue		☐ Female ☒ Male							
7 TELEPHONE NUMBERS		Work (include Area Code and extension)				Home (include Area Code)											
		(X) Day				() Day											
		() Night (49) (228) 3391 (U.S. Embassy BONN)				() Night () Same											
8 CITIZENSHIP		a		I am a U.S. citizen by birth in the U.S.		☒ Answer Items b and d		b Your Mother's Maiden Name									
		Mark the box at the right that applies to you and follow the instructions next to the box you marked.		I am a U.S. citizen, but I was NOT born in the U.S.		☐ Answer Items b, c, and d		Trudi Moos									
				I am not a U.S. citizen.		☐ Answer Items b and e											
c UNITED STATES CITIZENSHIP		If you are a U.S. Citizen, but were not born in the U.S., provide information about one or more of the following proofs of your citizenship.															
		Naturalization Certificate (Where were you naturalized?)															
		Court		City		State		Certificate Number		Month/Day/Year Issued							
		Citizenship Certificate (Where was the certificate issued?)															
		City		State		Certificate Number		Month/Day/Year Issued									
		State Department Form 240 - Report of Birth Abroad of a Citizen of the United States															
		Give the date the form was prepared and give an explanation if needed.		Month/Day/Year		Explanation											
		U.S. Passport															
		This may be either a current or previous U.S. Passport.															
		Passport Number		Month/Day/Year Issued													
d DUAL CITIZENSHIP		If you are (or were) a dual citizen of the United States and another country, provide the name of that country in the space to the right.															
		Country															
e ALIEN		If you are an alien, provide the following information:															
		Place You Entered the United States:		City		State		Date You Entered U.S.		Alien Registration Number		Country of Citizenship					
								Month Day Year									

9 WHERE YOU HAVE LIVED

Fill in your full address for every place you have lived beginning with the present (#1) and working backward 15 years.

- If you attended school away from your permanent residence, list the address you lived at while attending school.
- For any address in the past 3 years:
 - List a person who knew you at that address, preferably someone who still lives in that area.
 - If address listed is "General Delivery," a Rural Route, or Star Route, provide directions for locating the residence on an attached continuation sheet, and show the block #.

#1	Month/Year Month/Year Present 9/93 present	Street Address U.S. Embassy Bonn, APO AE 09080	Apt. #	City (Country) Legat Bonn	State	ZIP Code
Name of Person Who Knows You		Street Address Lehman Brothers	Apt. #	City (Country) Washington DC	State	ZIP Code 20006-1
#2	Month/Year Month/Year 08/88 To 09/93	Street Address 213 East 71st Street	Apt. # 5	City (Country) New York NY	State	ZIP Code NY 10001-211
Name of Person Who Knows You		Street Address	Apt. #	City (Country)	State	ZIP Code
#3	Month/Year Month/Year 1981 To 1988	Street Address 1215 29th Street, NW *(attached)	Apt. #	City (Country) Washington WMFO	State	ZIP Code DC 20001-1
Name of Person Who Knows You		Street Address	Apt. #	City (Country)	State	ZIP Code
#4	Month/Year Month/Year 1980 To 08/81	Street Address 3032 N. Street, NW	Apt. #	City (Country) Washington	State	ZIP Code DC 20001-7
Name of Person Who Knows You Ambassador Pamela Harriman		Street Address American Embassy Paris, FRANCE	Apt. #	City (Country)	State	ZIP Code
#5	Month/Year Month/Year 04/77 To 1980	Street Address 2001 Connecticut Ave., NW	Apt. # 401?	City (Country) Washington	State	ZIP Code DC 20001-1
Name of Person Who Knows You		Street Address c/o State Dept., Washington	Apt. #	City (Country) DC	State	ZIP Code 20005-200
#6	Month/Year Month/Year To	Street Address	Apt. #	City (Country)	State	ZIP Code
Name of Person Who Knows You		Street Address	Apt. #	City (Country)	State	ZIP Code

10 WHERE YOU WENT TO SCHOOL

Fill in information about schools you have attended, beyond Junior High School, beginning with the most recent (#1) and working backward 15 years. Also list College or University degrees received beyond 15 years.

- For schools you attended in the past 3 years, list a person who knew you at school (such as an instructor or a student).
- For correspondence schools and extension classes, list records location address.
- In the "Code" block, use one of these codes: 1 - High School 2 - College/University 3 - Vocational/Trade School

#1	Month/Year Month/Year 1969 To 1970	Code 3	Name of School Princeton University (Woodrow Wilson)	Degree/Diploma/Other (show each degree and date received if Code 2) Visiting Fellow - no degree	Month/Year
Street Address and City (Country) of School Princeton				State	ZIP Code
#2	Month/Year Month/Year 1958 To 1962	Code 2	Name of School Brown University	Degree/Diploma/Other (show each degree and date received if Code 2) B.A.	Month/Year 06/62
Street Address and City (Country) of School Providence				State RI	ZIP Code 02911-2
#3	Month/Year Month/Year 1955 To 1958	Code 1	Name of School Scarsdale H.S.	Degree/Diploma/Other (show each degree and date received if Code 2)	Month/Year
Street Address and City (Country) of School Post Road, Scarsdale				State NY	ZIP Code 10583

Enter your Social Security Number before going to the next page

11 YOUR EMPLOYMENT ACTIVITIES

Fill in your employment activities, beginning with the present (#1) and working backward 15 years. INCLUDE:

- all full-time work
- all part-time work
- all paid work
- active military duty
- self-employment
- all periods of unemployment

IN THE NUMBERED ACTIVITY SECTION USE ONE OF THESE CODES IN THE CODE BLOCK:

- | | | | |
|-----------------------------------|--|--|-----------|
| 1 - Active military duty stations | 5 - State Government (Non-Federal) employment | 7 - Unemployment (Enter name of person who can verify) | 9 - Other |
| 2 - National Guard/Reserve | 6 - Self-employment (Enter business name and/or name of person who can verify) | 8 - Federal Contractor (list Contractor, not Federal agency) | |
| 3 - U.S.P.H.S. Commissioned Corps | | | |
| 4 - Other Federal employment | | | |

FOR EACH ACTIVITY SECTION, provide information requested. For example, If you had worked at XY Plumbing in Denver, CO, for 3 separate periods of time, you would enter dates and information concerning the most recent period of employment first, and provide dates, position titles, and supervisors for the two previous periods of employment in the appropriate blocks below that information. (For locations outside the U.S., show city and country.)

#1	Month/Year Month/Year	Code	Employer's Name/Military Service/Unemployment or Self-Employment Venier	Your Position Title
Present	9/93 present	4	U.S. Department of State (WMFO)	U.S. Ambassador to Germany
Employer's/Venier's Street Address			City (Country)	State ZIP Code Telephone Number
U.S. Department of State			Washington	D.C. 20520 2026474000
Street Address of Job Location (if different than Employer's Address)			City (Country)	State ZIP Code Telephone Number
U.S. Embassy Bonn, Germany			Germany (Legat Bonn)	() 492283391
Supervisor's Name & Street Address (if different than Job Location)			City (Country)	State ZIP Code Telephone Number
not applicable (presidential appointment)			()	() ()

PREVIOUS PERIODS OF THE SAME ACTIVITY AND LOCATION - IF CONTINUATION SHEET IS USED, SHOW BLOCK #

Month/Year Month/Year	Your Position Title & Supervisor's Name	Month/Year Month/Year	Your Position Title & Supervisor's Name
To		To	
To		To	

#2	Month/Year Month/Year	Code	Employer's Name/Military Service/Unemployment or Self-Employment Venier	Your Position Title
	04/85 To 09/93	9	Lehman Brothers (aka Shearson Lehman Bros)	Managing Director
Employer's/Venier's Street Address			City (Country)	State ZIP Code Telephone Number
200 Vesey Street			New York	NY 10121 21215 ()
Street Address of Job Location (if different than Employer's Address)			City (Country)	State ZIP Code Telephone Number
()			()	() ()
Job Location ()			City (Country)	State ZIP Code Telephone Number
()			()	() ()

PREVIOUS PERIODS OF THE SAME ACTIVITY AND LOCATION - IF CONTINUATION SHEET IS USED, SHOW BLOCK #

Month/Year Month/Year	Your Position Title & Supervisor's Name	Month/Year Month/Year	Your Position Title & Supervisor's Name
03/81 To 04/85	(now at)	To	
To		To	

#3	Month/Year Month/Year	Code	Employer's Name/Military Service/Unemployment or Self-Employment Venier	Your Position Title
	03/81 concurrently to 04/85	9	Public Strategies (no longer in existence)	Vice President
Employer's/Venier's Street Address			City (Country)	State ZIP Code Telephone Number
2550 M Street, NW			Washington	D.C. 20010 20217 ()
Street Address of Job Location (if different than Employer's Address)			City (Country)	State ZIP Code Telephone Number
()			()	() ()
()			Washington	D.C. 20010 20216 ()

PREVIOUS PERIODS OF THE SAME ACTIVITY AND LOCATION - IF CONTINUATION SHEET IS USED, SHOW BLOCK #

Month/Year Month/Year	Your Position Title & Supervisor's Name	Month/Year Month/Year	Your Position Title & Supervisor's Name
To		To	
To		To	

Enter your Social Security Number before going to the next page

→ 1/3/2 - 3/2 - 3/0/9/6

YOUR EMPLOYMENT ACTIVITIES (Continued)

#4	Month/Year 01/77	Month/Year 01/81	Code 4	Employer's Name/Military Service/Unemployment or Self-Employment Venier U.S. Department of State	Your Position Title Asst. Sec. of State - EAP		
Employer's/Venier's Street Address 2201 C. Street, NW				City (Country) Washington,	State D.C.	ZIP Code 2051210	Telephone Number (202) 647-9596
Street Address of Job Location (if different than Employer's Address)				City (Country)	State	ZIP Code	Telephone Number ()
Supervisor's Name & Street Address (if different than Job Location) Cyrus R. Vance				City (Country) New York	State N.Y.	ZIP Code 11010117	Telephone Number (212) 455-7190

PREVIOUS PERIODS OF THE SAME ACTIVITY AND LOCATION - IF CONTINUATION SHEET IS USED, SHOW BLOCK #

Month/Year 06/62	Month/Year 1974	Your Position Title & Supervisor's Name Foreign Service Officer	Month/Year To	Your Position Title & Supervisor's Name
To	To	(various supervisors - see personnel files)	To	To

#5	Month/Year To	Month/Year To	Code	Employer's Name/Military Service/Unemployment or Self-Employment Venier	Your Position Title		
Employer's/Venier's Street Address				City (Country)	State	ZIP Code	Telephone Number ()
Street Address of Job Location (if different than Employer's Address)				City (Country)	State	ZIP Code	Telephone Number ()
Supervisor's Name & Street Address (if different than Job Location)				City (Country)	State	ZIP Code	Telephone Number ()

PREVIOUS PERIODS OF THE SAME ACTIVITY AND LOCATION - IF CONTINUATION SHEET IS USED, SHOW BLOCK #

Month/Year To	Month/Year To	Your Position Title & Supervisor's Name	Month/Year To	Your Position Title & Supervisor's Name
To	To		To	To

#6	Month/Year To	Month/Year To	Code	Employer's Name/Military Service/Unemployment or Self-Employment Venier	Your Position Title		
Employer's/Venier's Street Address				City (Country)	State	ZIP Code	Telephone Number ()
Street Address of Job Location (if different than Employer's Address)				City (Country)	State	ZIP Code	Telephone Number ()
Supervisor's Name & Street Address (if different than Job Location)				City (Country)	State	ZIP Code	Telephone Number ()

PREVIOUS PERIODS OF THE SAME ACTIVITY AND LOCATION - IF CONTINUATION SHEET IS USED, SHOW BLOCK #

Month/Year To	Month/Year To	Your Position Title & Supervisor's Name	Month/Year To	Your Position Title & Supervisor's Name
To	To		To	To

#7	Month/Year To	Month/Year To	Code	Employer's Name/Military Service/Unemployment or Self-Employment Venier	Your Position Title		
Employer's/Venier's Street Address				City (Country)	State	ZIP Code	Telephone Number ()
Street Address of Job Location (if different than Employer's Address)				City (Country)	State	ZIP Code	Telephone Number ()
Supervisor's Name & Street Address (if different than Job Location)				City (Country)	State	ZIP Code	Telephone Number ()

PREVIOUS PERIODS OF THE SAME ACTIVITY AND LOCATION - IF CONTINUATION SHEET IS USED, SHOW BLOCK #

Month/Year To	Month/Year To	Your Position Title & Supervisor's Name	Month/Year To	Your Position Title & Supervisor's Name
To	To		To	To

Enter your Social Security Number before going to the next page

→ 1 | 3 | 2 - 3 | 2 - 3 | 0 | 9 | 6

12 PEOPLE WHO KNOW YOU WELL

- List two people who know you well and live in the United States.
• Don't list spouse, other relatives, or former spouses.

• Try not to list anyone mentioned in Item 9, 10, or 11.

Name	Number Years Known	City (Country)	State	ZIP Code
#1 [Redacted] WMFO	12	Washington	DIC	210101018
#2 [Redacted]	29			

13 YOUR OUTSIDE ACTIVITIES

List any activities which you may wish to have considered as reflecting favorably on your reputation for leadership, responsibility, honesty, and integrity in the last 15 years. (Response Optional)

Month/Year	Month/Year	Activity	Location of Activity	State
#1 1992	To 1993	Director, Council on Foreign Relations	New York	N.Y.
#2 1992	To 1993	Director, Citizens Committee of New York City	New York	N.Y.
#3 1990	To	Director, International Rescue Committee	New York	N.Y.

14 YOUR FOREIGN ACTIVITIES

- a. Do you have any foreign property, business connections, or financial interests? ☒ Yes ☐ No
- b. Are you now or have you ever been employed by or acted as a consultant for a foreign government, firm, or agency? ☒ Yes ☐ No
- c. In the last 15 years, have you had continuing contact with a national of any foreign country designated by the agency instructing you to fill out this form? (NOTE: If the agency wants you to answer this question, it will provide you with a list of countries.) ☐ Yes ☐ No

If you answered "Yes" to a, b, or c, explain in the space below:
Please see attached.

15 FOREIGN COUNTRIES YOU HAVE VISITED

List foreign countries you have visited, beginning with the most current (#1) and working backward 15 years.

- Do not include countries covered in items 9, 10, and 11.

- In the "Code" block, use one of these codes: 1 - Business

2 - Pleasure

3 - Education

4 - Other

Month/Year	Month/Year	Code	Country	Month/Year	Month/Year	Code	Country
#1	To		Generic	#3	To		
#2	To			#4	To		

16 YOUR MILITARY HISTORY

- a. Have you served in the United States military? ☐ Yes ☒ No
- Have you served in the United States Merchant Marine? ☐ Yes ☒ No
- If your answer to both questions is "No," GO TO QUESTION 17.
- If your answer to either question is "Yes," GO TO b.

- b. Starting with the most current (#1) and working backward, enter information for all periods of active service into the table below.

- Mark "O" block for Officer or "E" block for Enlisted.

- In the "Code" block, use one of these codes:

1 - Air Force 2 - Army 3 - Navy 4 - Marine Corps 5 - Coast Guard 6 - Merchant Marine 7 - National Guard

Month/Year	Month/Year	Code	Service/Certificate #	O	E	Status (Mark "X" in appropriate blocks - use State Code for National Guard)	Inactive Reserve	Retired			
						None	Active Duty	Active Reserve	National Guard (show State)	Inactive Reserve	Retired
#1	To										
#2	To										
#3	To										
#4	To										

Enter your Social Security Number before going to the next page

→ 11312-312-31996

17 YOUR RELATIVES

Give full names and enter the correct code for all relatives, living or dead, specified below:

- | | | | | | |
|---------------------|--------------------------|---------------|-------------------|--------------------|---------------|
| 1 - Mother (first) | 4 - Stepfather | 7 - Stepchild | 10 - Stepbrother | 13 - Half-sister | 16 - Guardian |
| 2 - Father (second) | 5 - Foster parent | 8 - Brother | 11 - Stepsister | 14 - Father-in-law | |
| 3 - Stepmother | 6 - Child (adopted also) | 9 - Sister | 12 - Half-brother | 15 - Mother-in-law | |

Full Name (If deceased, check box on the left before entering name)	Code	Date of Birth Month/Day/Year	Country of Birth	Country of Citizenship	Current Street Address and City (country) of Living Relatives	State
☐ Trudi (Holbrooke) Kearn	1	09/15/20	Stuttgart, Germany	USA (NY)	344 Sprain Road, Scarsdale	NY
☒ Dan Holbrooke	2	09/30/14	Warsaw Poland	USA X		
☐ Stanley Kearn	4	12/22/13	Waterbury, Conn USA	USA (NY)	344 Sprain Road, Scarsdale	NY
☐						
☐						
☐						
☐						
☐						
☐						
☐						

18 YOUR MARITAL STATUS **Also, please see attached.

Mark one of the following boxes to show your current marital status:

- | | | |
|--|--|--|
| ☐ 1 - Never married (go to question 19) | ☐ 3 - Separated | ☒ 5 - Divorced |
| ☐ 2 - Married | ☐ 4 - Legally Separated | ☐ 6 - Widowed |

Current Spouse Complete the following about your current spouse.

Full Name	Date of Birth	Place of Birth (Include country if outside the U.S.)	Social Security Number
Other Names Used (Specify maiden name, names by other marriages, etc., and show dates used for each name)			
Country of Citizenship	Date Married	Place Married (Include country if outside the U.S.)	State
If Separated, Date of Separation (Mo./Day/Yr.)		If Legally Separated, Where is the Record Located? City (Country)	
Address of Current Spouse (Street, city, and country if outside the U.S.)			State ZIP Code

Former Spouse(s) Complete the following about your former spouse(s) use blank sheets if needed.

☐	☐	Country of Citizenship	Date Married	Place Married (Include country if outside the U.S.)	State
USA	1964	USA	1972	Saigon, Republic of Vietnam	DC
☒ Divorced	☐ Widowed	If Divorced, Where is the Record Located? City (Country)			
Washington					

19 PERSONS LIVING WITH YOU

Does the citizen of another country, or a United States citizen by other than birth, live at your residence? If "Yes," provide the information required below. If a United States citizen by other than birth lives with you, show both "United States" and prior country of citizenship below. Don't list your spouse or other relatives you provided in question 17.

Name of Person	Country of Citizenship	Relationship

This concludes Part 1 of this form. If you have used Page 9, continuation sheets, or blank sheets to complete any of the questions in Part 1, give the number for those questions in the space to the right:

Enter your Social Security Number before going to the next page

1 3 2 - 3 2 - 3 0 9 6

**QUESTIONNAIRE FOR
SENSITIVE POSITIONS
(For National Security)**

Part 2

20 YOUR SELECTIVE SERVICE RECORD

Yes	No
	XX

- a. Are you a male born after December 31, 1959? If "No," go to 21. If "Yes," go to b.
b. Have you registered with the Selective Service System? If "Yes," provide your registration number. If "No," show the reason for your legal exemption below.

Registration Number Legal Exemption Explanation

21 YOUR MILITARY RECORD

Yes	No
	XX

- a. Have you ever received other than an honorable discharge from the military? If "Yes," provide:
Date of Discharge (Month and Year): **Type of Discharge:**
b. Have you ever been subject to court-martial or other disciplinary proceedings under the Uniform Code of Military Justice? If "Yes," list any disciplinary proceedings in the last 15 years and all courts-martial. (Include non-judicial and Captain's mast, etc.)

Month/Year	Charge or Specification / Action Taken	Place (City and county/country if outside the United States)	State

22 YOUR EMPLOYMENT RECORD

Yes	No
	XX

Has any of the following happened to you in the last 15 years? If "Yes," begin with the most recent occurrence and go backward, providing date fired, quit, or left, and other information requested.

Use the following codes and explain the reason your employment was ended:

- 1 - Fired from a job 3 - Left a job by mutual agreement following allegations of misconduct 5 - Left a job for other reasons under unfavorable circumstances
2 - Quit a job after being told you'd be fired 4 - Left a job by mutual agreement following allegations of unsatisfactory performance

Month/Year	Code	Specify Reason	Employer's Name and Address	State	ZIP Code

23 YOUR POLICE RECORD (Do not include anything that happened before your 16th birthday.)

Yes	No
	XX
	XX
	XX
	XX
	XX

- a. Have you ever been charged with or convicted of any felony offense?
b. Have you ever been charged with or convicted of a firearms or explosives offense?
c. Are there currently any charges pending against you for any criminal offense?
d. Have you ever been charged with or convicted of any offense(s) related to alcohol or drugs?
e. In the last 5 years, have you been arrested for, charged with, or convicted for any offense(s) not listed in response to a, b, c, or d above? (Leave out traffic fines of less than \$100.)

If you answered "Yes" to a, b, c, d, or e above, explain your answer(s) in the space provided.

Month/Year	Offense	Action Taken	Law Enforcement Authority or Court (City and county/country if outside the U.S.)	State	ZIP Code

24 YOUR MEDICAL RECORD

Yes	No
	XX
	XX

- a. Have you experienced problems on or off the job because of any emotional or mental condition?
b. Have you ever seen a health care professional for any of the types of problems mentioned above?

If you answered "Yes" to questions a or b, explain below.

Month/Year	Month/Year	Explanation
To		
To		

Enter your Social Security Number before going to the next page

→ 1-312-312-31996

25 ILLEGAL DRUGS AND ALCOHOL

a. In the last 5 years, have you used, possessed, supplied, or manufactured any illegal drugs? When used without a prescription, illegal drugs include marijuana, cocaine, hashish, narcotics (opium, morphine, codeine, heroin, etc.), stimulants (cocaine, amphetamines, etc.), depressants (barbiturates, methaqualone, tranquilizers, etc.), hallucinogenics (LSD, PCP, etc.). (NOTE: The information you provide in response to this question will not be provided for use in any criminal proceedings against you.)

Yes	No
	XX

b. Have you experienced problems (disciplinary actions, evictions, formal complaints, etc.) on or off a job from your use of illegal drugs or alcohol?

Yes	No
	XX

If you answered "Yes" to question a or b above, provide information relating to the types of substance(s), the nature of the activity, and any other details relating to your involvement with illegal drugs or alcohol. Include any treatment or counseling received.

Month/Year	Month/Year	Type of Substance	Explanation
To			
To			
To			

26 YOUR INVESTIGATIONS RECORD

a. Has the United States Government ever investigated your background? If "Yes," use the codes that follow to provide the requested information below. If "Yes," but you can't recall the investigating agency and/or the security clearance received, enter "Other" agency code or clearance code, as appropriate, and "Don't know" or "Don't recall" under the "Other Agency" heading, below. If your response is "No," or you don't know or can't recall if you were investigated and cleared, check the "No" box.

Yes	No
XX	

Codes for Investigating Agency

1 - Defense Department
2 - State Department
3 - Office of Personnel Management
4 - FBI
5 - Treasury Department
6 - Other (Specify)

Codes for Security Clearance Received

0 - Not Required
1 - Confidential
2 - Secret
3 - Top Secret
4 - Sensitive Compartmented Information
5 - Q-Sensitive
6 - Q-Nonsensitive
7 - L
8 - Other

Month/Year	Agency Code	Other Agency	Clearance Code	Month/Year	Agency Code	Other Agency	Clearance Code
1962	2		3	1993	2		3
1977	2		3 & 4				

b. To your knowledge, have you ever had a clearance or access authorization denied, suspended, or revoked, or have you ever been debarred from government employment? If "Yes," give date of action and agency.

Yes	No
	XX

Month/Year	Department or Agency Taking Action	Month/Year	Department or Agency Taking Action

27 YOUR FINANCIAL RECORD

a. In the last 5 years, have you, or a company over which you exercised some control, filed for bankruptcy, been declared bankrupt, been subject to a tax lien, or had legal judgment rendered against you for a debt? If you answered "Yes," provide date of initial action and other information requested below.

Yes	No
	XX

Month/Year	Type of Action	Name Action Occurred Under	Name/Address of Court or Agency Handling Case	State	ZIP Code

b. Are you now over 180 days delinquent on any loan or financial obligation? Include loans or obligations funded or guaranteed by the Federal Government. (If an SF 171, Application for Federal Employment, will be attached, you do not need to repeat Federal Government delinquencies. See the instructions headed, "How is the SF 171 used with this form?")

Yes	No
	XX

If you answered "Yes," provide the information requested below:

Month/Year	Type of Loan or Obligation and Account #	Name/Address of Creditor or Obligor	State	ZIP Code

Enter your Social Security Number We are going to the next page

→ 1 | 3 | 2 | - | 3 | 2 | - | 3 | 0 | 9 | 6 |

28 YOUR ASSOCIATION RECORD

- a. In the last 15 years, have you been an officer or a member or made a contribution to an organization dedicated to the violent overthrow of the United States Government and which engages in illegal activities to that end, knowing that the organization engages in such activities with the specific intent to further such activities?
- b. In the last 15 years, have you knowingly engaged in any acts or activities designed to overthrow the United States Government by force? If you answered "Yes" to a or b, explain in the space below:

Yes	No
	XX
	XX

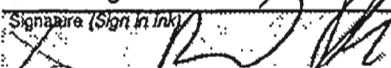
Continuation Space

Use the continuation sheet(s) (SF 86A) for additional answers to questions 9, 10, and 11. Use the space below to continue answers to all other questions and any information you would like to add. If more space is needed than what is provided below, use a blank sheet(s) of paper. Start each sheet with your name and Social Security Number. Before each answer, identify the number of the question.

After completing Parts 1 and 2 of this form and any attachments, you should review your answers to all questions to make sure the form is complete and accurate, and then sign and date the following certification and sign and date the release on page 10. If you attach an SF 171, Application for Federal Employment, make sure that it is updated and that any information added to the SF 171 is initialed and dated.

Certification That My Answers Are True

I read each question asked of me and understood each question. My statements on this form, and any attachments to this form, are true, complete, and correct to the best of my knowledge and belief and are made in good faith. I understand that a knowing and willful false statement on this form can be punished by fine or imprisonment or both.

Signature (Sign in Ink)  Date 24 June 1994

Enter your Social Security Number before going to the next page

→ 1 | 3 | 2 | - | 3 | 2 | - | 3 | 0 | 9 | 6 |

UNITED STATES OF AMERICA

AUTHORIZATION FOR RELEASE OF INFORMATION

Carefully read this authorization to release information about you, then sign and date it in ink.

I Authorize any investigator, special agent, or other duly accredited representative of the U.S. Office of Personnel Management, the Federal Bureau of Investigation, the Department of Defense, and any authorized Federal agency, to obtain any information relating to my activities from schools, residential management agents, employers, criminal justice agencies, retail business establishments, or other sources of information. This information may include, but is not limited to, my academic, residential, achievement, performance, attendance, disciplinary, employment history, and criminal history record information.

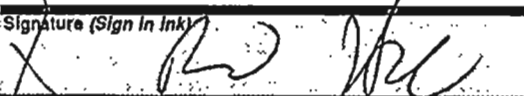
I Understand that, for financial or lending institutions, medical institutions, hospitals, health care professionals, and other sources of information, a separate specific release will or may be needed, and I may be contacted for such a release at a later date.

I Further Authorize the U.S. Office of Personnel Management, the Federal Bureau of Investigation, the Department of Defense, and any other authorized agency, to request criminal record information about me from criminal justice agencies for the purpose of determining my eligibility for, assignment to, or retention in, a sensitive position, in accordance with 5 U.S.C. 9101.

I Authorize custodians of records and sources of information pertaining to me to release such information upon request of the investigator, special agent, or other duly accredited representative of any Federal agency authorized above regardless of any previous agreement to the contrary.

I Understand that the information released by records custodians and sources of information is for official use by the Federal Government only for the purposes provided in this Standard Form 86, and may be redisclosed by the Government only as authorized by law.

Copies of this authorization that show my signature are as valid as the original release signed by me. This authorization is valid for two (2) years from the date signed.

Signature (Sign in Ink) 	Full Name (Type or Print Legibly) Richard C. Holbrooke	Date Signed 24 June 1994
Other Names Used	Social Security Number 1 3 2 - 3 2 - 3 0 9 6	
Current Address (Street, City) U.S. Embassy Bonn Germany APO AE 09080	State 	ZIP Code
		Home Telephone Number (Include Area Code) (492283391)

ATTACHMENT FOR
SECTION 9 - WHERE YOU HAVE LIVED

~~#2. During this period I commuted to New York, where I stayed
with various friends or in hotels, while working for
Lehman Brothers.~~

Richard C. Holbrooke
SSN 132-32-3096

ATTACHMENT FOR
SECTION 14 - YOUR FOREIGN ACTIVITIES

- #a. I own no foreign property and have no direct financial interests overseas. As a Managing Director of Lehman Brothers, I have continual business contacts with people overseas, most notably in Korea, China, and Hong Kong.
- #b. During the period of summer 1981 to spring 1985, one of the clients of Public Strategies (see question 11) jointly shared by [redacted] and myself, was the Hyundai Corporation of Korea. Our relationship was purely advisory and, by prior agreement, did not involve any lobbying activities.

b6
b7C

Richard C. Holbrooke
SSN 132-32-3096

Legat Bonn Insure
this is addressed
during appointee's
interview

ATTACHMENT FOR
SECTION 18 - YOUR MARITAL STATUS

Former Spouse:

[REDACTED]

Date of Birth: Do not know.

b6
b7c

Place of Birth: [REDACTED]

Country of Citizenship: USA

Date Married: [REDACTED]

Place Married: [REDACTED]

Divorced: [REDACTED]

Location of Record: Wash., DC

Richard C. Holbrooke
SSN 132-32-3096

7/2/94
(C)

b6
b7C

TO: FBI (ATTENTION: SPECIAL INQUIRY UNIT ROOM 4371)
FROM: [Redacted] Special Counsel to the President
SUBJECT: FBI INVESTIGATIONS

Candidate's Name Richard Charles Holbrook SSAN 132-32-3096
Date of Birth 4/24/41 Place of Birth New York, NY
Present Address _____

We request: _____ Copy of Previous Report
_____ Name Check
_____ Expanded Name Check
X _____ Full-Field Investigation
Level I _____ Level II X Level III _____
_____ Limited Update
_____ Other _____

The candidate named above is being considered for:

X _____ Presidential Appointment
X _____ Requiring Senate Confirmation
_____ Not Requiring Senate Confirmation
_____ White House Staff Position

Attachments:

_____ SF-86
_____ SF-87 (Fingerprint Card)
X _____ SF-86 Supplement
_____ Other _____

b6
b7C

Remarks/Special Instructions:

as promised —
Please see attached memo from State Dept
to [Redacted]



United States Department of State
Washington, D.C. 20520

June 30, 1994

TO: Mr. Edgar Bueno
Ofc of White House Counsel

FROM: Sharon Bissell

SUBJECT: Clearance Form -- Richard Holbrooke

Edgar,

I just received by air express the attached Supplemental 86 completed by Richard Holbrooke, currently Ambassador to Germany, under consideration to be Assistant Secretary of State for European and Canadian Affairs. Unfortunately, he completed it and signed it in green ink.

I have typed the information on a blank form and attached the form he signed and completed in the hope that the FBI will accept it and we won't have to waste time air expressing a new one back and forth.

If there's a problem, let me know.

Attachment:
As stated

1567

SUPPLEMENT TO STANDARD FORM 86 (SF-86)
(Attach additional pages if necessary)

- 1S. Please list names of all corporations, firms, partnerships or other business enterprises, and all nonprofit organizations and other institutions with which you are now, or during the past five years have been, affiliated as an officer, owner, director, trustee, partner, advisor, attorney or consultant. In addition, please provide the names of any other organizations with which you were affiliated prior to the past five years that might present a potential conflict or appearance of conflict of interest with your prospective appointment. (Please note that in the case of an attorney's client listing, it is only necessary to provide the names of major clients and those that might present a potential conflict or appearance of conflict of interest with the prospective appointment).

I WAS A MANAGING DIRECTOR OF SHEARSON
LEHMAN BROTHERS FROM 1985 TO 1993. OTHER THAN
THAT, NO OTHER SUCH AFFILIATIONS.

- 2S. Please list all your interests in real property, other than a personal residence, setting forth the nature of your interest, the type of property and the address. I OWN RESIDENCES IN:

- 1) WASHINGTON, D.C. - 1215 29th Street (FOR SALE)
- 2) TELLURIDE, COLO. - CONDOMINIUM (RENTED)
- 3) NEW MILFORD, CONN. - COUNTRY HOUSE (RENTED)

- 3S. Have you or any firm, company or other entity with which you have been associated ever been convicted of a violation of any Federal, state, county or municipal law, regulation or ordinance? If so, please provide full details.

NOT TO MY KNOWLEDGE.

- 4S. Have you or any firm, company or other entity with which you have been associated ever been the subject of Federal, state or local investigation for possible violation of a criminal statute? If so, please give full details.

NOT TO MY KNOWLEDGE.

- 5S. Have you ever been involved in civil or criminal litigation, or in administrative or legislative proceedings of any kind, either as a plaintiff, defendant, respondent, witness or party in interest? If so, please give full details identifying dates, issues litigated and the location where the civil action is recorded.

NO.

6S. Have you ever been disciplined or cited for a breach of ethics or unprofessional conduct by, or been the subject of a complaint to any court, administrative agency, professional association, disciplinary committee, or other professional group? If so, please give full details.

NO.

7S. Have you ever run for political office, served on a political committee or been identified in a public way with a particular organization, candidate or issue? Have any complaints been lodged against you or your political committee with the Federal Election Commission or state or local election authorities? If so, please describe. NO TO ALL OF THE ABOVE, EXCEPT:

I WAS A MEMBER OF THE BOARD OF DIRECTORS OF A POLITICAL ACTION COMMITTEE CALLED "DEMOCRATS FOR THE '80s" FOR ONE YEAR (1991). I NEVER ATTENDED A MEETING OF THE PAC.

8S. Are you currently, or have you ever been, a member or office holder in any club or organization that restricts or restricted membership on the basis of sex, race, color, religion, national origin, age or handicap? If so, provide the name, address and dates of membership for each.

NO.

9S. Please identify any adults (18 years or older) currently living with you who are not members of your immediate family. Provide the names of those individuals, dates and places of birth, and whether or not they are United States citizens.

NONE.

10S. Is there anything in your personal life that could be used by someone to coerce or blackmail you? Is there anything in your life that could cause an embarrassment to you or to the President if publicly known? If so, please provide full details.

NO

I understand that the information being provided on this supplement to the SF-86 is to be considered part of the original SF-86 dated 6/24/94 and a false statement on this form is punishable by law.


Signature

6S. Have you ever been disciplined or cited for a breach of ethics or unprofessional conduct by, or been the subject of a complaint to any court, administrative agency, professional association, disciplinary committee, or other professional group? If so, please give full details.

No.

7S. Have you ever run for political office, served on a political committee or been identified in a public way with a particular organization, candidate or issue? Have any complaints been lodged against you or your political committee with the Federal Election Commission or state or local election authorities? If so, please describe.

No to all of the above, except: I was a member of the Board of Directors of a Political Action Committee called "Democrats for the '80s" for one year (1991). I never attended a meeting of the PAC.

8S. Are you currently, or have you ever been, a member or office holder in any club or organization that restricts or restricted membership on the basis of sex, race, color, religion, national origin, age or handicap? If so, provide the name, address and dates of membership for each.

No.

9S. Please identify any adults (18 years or older) currently living with you who are not members of your immediate family. Provide the names of those individuals, dates and places of birth, and whether or not they are United States citizens.

None.

10S. Is there anything in your personal life that could be used by someone to coerce or blackmail you? Is there anything in your life that could cause an embarrassment to you or to the President if publicly known? If so, please provide full details.

No.

I understand that the information being provided on this supplement to the SF-86 is to be considered part of the original SF-86 dated 6/24/94 and a false statement on this form is punishable by law.

See attached signed original
Signature

SUPPLEMENT TO STANDARD FORM 86 (SF-86)
(Attach additional pages if necessary)

- 1S. Please list names of all corporations, firms, partnerships or other business enterprises, and all nonprofit organizations and other institutions with which you are now, or during the past five years have been, affiliated as an officer, owner, director, trustee, partner, advisor, attorney or consultant. In addition, please provide the names of any other organizations with which you were affiliated prior to the past five years that might present a potential conflict or appearance of conflict of interest with your prospective appointment. (Please note that in the case of an attorney's client listing, it is only necessary to provide the names of major clients and those that might present a potential conflict or appearance of conflict of interest with the prospective appointment).

I was a Managing Director of Shearson Lehman Brothers from 1985-1993. Other than that, no other such affiliations.

- 2S. Please list all your interests in real property, other than a personal residence, setting forth the nature of your interest, the type of property and the address. I own residences in:
- Washington, D.C. - 1215 29th Street (for sale)
 - Telluride, Colorado - Condominium (rented)
 - New Milford, Connecticut - country house (rented)

- 3S. Have you or any firm, company or other entity with which you have been associated ever been convicted of a violation of any Federal, state, county or municipal law, regulation or ordinance? If so, please provide full details.

Not to my knowledge.

- 4S. Have you or any firm, company or other entity with which you have been associated ever been the subject of Federal, state or local investigation for possible violation of a criminal statute? If so, please give full details.

Not to my knowledge.

- 5S. Have you ever been involved in civil or criminal litigation, or in administrative or legislative proceedings of any kind, either as a plaintiff, defendant, respondent, witness or party in interest? If so, please give full details identifying dates, issues litigated and the location where the civil action is recorded.

No.

QW.DCFBIWAA6.NAM/HOLROOKE, RICHARDCHARLESALBERT.DOB/042441.SOC/132323096

DCFBIWAA6

NO NCIC WANT SOC/132323096

NO NCIC WANT DOB/042441 NAM/HOLROOKE, RICHARDCHARLESALBERT

QW.DCFBIWAA6.NAM/KEARL, TRUDI HOLBROOKE .DOB/091520

DCFBIWAA6

NO NCIC WANT DOB/091520 NAM/KEARL, TRUDI HOLBROOKE

QW.DCFBIWAA6.NAM/HOLBROOKE, TRUDI .DOB/091520

DCFBIWAA6

NO NCIC WANT DOB/091520 NAM/HOLBROOKE, TRUDI

QW.DCFBIWAA6.NAM/KEARL, STANLEY .DOB/122213

DCFBIWAA6

NO NCIC WANT DOB/122213 NAM/KEARL, STANLEY

b6
b7c

QW.DCFBIWAA6.NAM/MOOS, TRUDI

.DOB/091520

DCFBIWAA6

NO NCIC WANT DOB/091520 NAM/MOOS, TRUDI

IMMIGRATION AND NATURALIZATION SERVICE CHECK

ANALYST: [REDACTED] EXT: [REDACTED]
SPECIAL INQUIRY UNIT, ROOM 4371, TL 114

SUBJECT: RICHARD CHARLES ALBERT H *Brooke* DEADLINE: 07/05/94
BUREAU FILE NUMBER:

THE BUREAU HAS BEEN REQUESTED TO CONDUCT A BACKGROUND
INVESTIGATION OF THE ABOVE-NAMED SUBJECT. SIU IS REQUESTED TO CHECK
INS RE THE SUBJECT AND/OR CLOSE RELATIVES LISTED BELOW.

SUBJECT: RICHARD CHARLES ALBERT H DOB: 04/24/41 POB: NEW YORK, NY
NEE: AKA:
SSAN: 132-32-3096 RESIDENCE: *,
ALIEN REGISTRATION #: DATE/PLACE OF ENTRY:
NATURALIZATION #: DATE/PLACE:
WAS CITIZENSHIP DERIVED THROUGH PARENTS? YES NO

* RELATIVE: TRUDI KEARL DOB: 09/15/20 POB: GERMANY, FEDERAL REPUB
NEE: AKA: RELATIONSHIP: MOTHER
SSAN: RESIDENCE: SCARSDALE, NY
ALIEN REGISTRATION #: DATE/PLACE OF ENTRY:
NATURALIZATION #: DATE/PLACE:
WAS CITIZENSHIP DERIVED THROUGH PARENTS? YES NO

* RELATIVE: [REDACTED] DOB: [REDACTED] POB: [REDACTED]
NEE: AKA: RELATIONSHIP: [REDACTED]
SSAN: RESIDENCE: [REDACTED]
ALIEN REGISTRATION #: DATE/PLACE OF ENTRY:
NATURALIZATION #: DATE/PLACE:
WAS CITIZENSHIP DERIVED THROUGH PARENTS? YES NO

b6
b7c

* RELATIVE: TRUDI MOOS DOB: 09/15/20 POB: GERMANY, FEDERAL REPUB
NEE: AKA: RELATIONSHIP: MOTHER
SSAN: RESIDENCE: SCARSDALE, NY
ALIEN REGISTRATION #: DATE/PLACE OF ENTRY:
NATURALIZATION #: DATE/PLACE:
WAS CITIZENSHIP DERIVED THROUGH PARENTS? YES NO

* No Record



TO: NEXIS - ATTN: [REDACTED] (DATA BANK)

FROM: SPECIAL INQUIRY UNIT, 4371, TL# 114

b6
b7C

SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE

BUDED: 07/05/94

THE BUREAU HAS BEEN REQUESTED TO CONDUCT AN EXPEDITE BACKGROUND INVESTIGATION OF THE ABOVE-CAPTIONED SUBJECT, WHO IS BEING CONSIDERED FOR PRESIDENTIAL APPOINTMENT. YOU ARE REQUESTED TO CHECK APPROPRIATE INDICES BASED UPON AVAILABLE INFORMATION CONCERNING SUBJECT, EMPLOYMENT, AND ALL CLOSE RELATIVES. IT IS REQUESTED THAT THE RESULTS OF YOUR CHECK, WHETHER POSITIVE OR NEGATIVE, BE INDICATED IN THE SPACES PROVIDED BELOW, AND RELAYED TO THE SPECIAL INQUIRY UNIT, RM 4371, VIA ROUTING SLIP MARKED 'URGENT'.

SUBJECT IS DESCRIBED AS FOLLOWS:

RESULT
+/-

NAME: RICHARD CHARLES ALBERT HOLBROOKE

DOB: 04/24/41

POB: NEW YORK, NY

SSAN: 132-32-3096

CURRENT RESIDENCE: EMBASS BONN, APO AE 09
*, BENIN

EMPLOYMENT: US DEPARTMENT OF STATE

* U S STATE DEPARTMENT * WASHINGTON, DC

CHECK CONDUCTED BY: [REDACTED] ON 7-5-94
USING THE NEXIS DATABASE(S) AND THE FOLLOWING
PARAMETERS: RICHARD W/5 HOLBROOKE

b6
b7C

SPIN 5 DAY E
00000049 940718 131025 0
HOLBROOKE, RICHARD CHARLES
213 E 71ST
NEW YORK, NY 10001
SSN: 132323096

71ST ST

CCCCC BB BB RR RR
CC CC BB BB RR RR
CC BB BB RR RR
CC BB BB RR RR
CC BB BB RR RR
CCCCC BBBB RR RR

E A S Y R E A D
CREDIT BUREAU REPORTS, INC.
BOX 36403 HOUSTON, TX 77236

----- IDENTIFICATION -----
----- MULTIPLE 1 -----

NAME: HOLBROOKE, RICHARD C SSN: 132323096 DOB: Y-1941
ADDRESS: BOX 215 APO, AE 09080 DATE: 11-93
EMPLOYER: RICHARD C HOLBROOKE 213 E 71ST ST 5 NEW YORK NY
REPORTED: 08-90
FORMER EMPLOY: RICHARD C HOLBROOKE 200 VESEY ST 20TH FLOOR NEW
REPORTED: 03-93

CREDITOR NAME		ECOA TYPE	ACCOUNT NUMBER		MOP	HIST	PAYMENT	REMARKS	
CREDITOR #	DLR	DO	DLA	HIGH	TERM	BAL	PAST	PATTERN	30 60 90
ATT UNIVERSAL CAR 1	18			539680001814		11	8	CC-----	CURRENT
1210187	07-94	10-93	03-94	8000	REV	0			00 00 00
ATT UNIVERSAL CAR 1	18			539855001113		12			PAID SATIS
1224262	09-91	07-90		8000	REV				
ATT UNIVERSAL CAR 1	18			539855001113		12	24	-----	PAID SATIS
1224262	10-93	07-90		8000	REV	0		-----	00 00 00
CREDIT LINE CLOSED									
SEARS		0	07	545044374		11	24	-----	CURRENT
1318425	07-94	7-84		0	REV	0		-----	00 00 00
BLOOMINGDALE BROT 1	07			4577090		11	24	-----	CURRENT
1349030	07-94	7-84		1500	REV	0		-----	00 00 00
AMERICAN EXPRESS 1	18			37294		11	23	-CCCCCCCCCCCC	CURRENT
1415525	06-94	7-84		6400MONTHLY	1957			CCCCCCCCCCCC	00 00 00
CHASE HOME MORTGA 1	26			3118360260		12			PAID SATIS
1900028	7-92	7-91		310000	30M103				
FIRST ADVANTAGE M 1	26			4710076398		5	8	CCCCCCCC	TRANSFERED
2990891	08-93	7-87		185000	15M123	0			00 00 00
CAN'T LOCATE BORROWER									

HOLBROOKE, RICHARD CHARLES

PAGE 2

DATE FILED	ECOA STATUS	TYPE/ STATUS	CASE NUMBER	PUBLIC RECORD PLAINTIFF AND/OR ATTORNEY	LIABILITY OR AMOUNT	COURT NUMBER/TYPE
12-90	JUDGEMENT		00000001	NYC DEPT OF FINANCE	8500	1011035 NEW YORK COUNTY REG
12-90	JUDGEMENT		00122090	122090 NYC DEPT OF	8500	1011035 NEW YORK COUNTY REG
06-91	STAT TX LN		06200382	9106200382	100	3041312 SACRAMENTO CNTY REC
11-91	STA TX REL		11210800	9111210800	100	3041312 SACRAMENTO CNTY REC
11-91	STA TX REL		11210799	9111210799	100	3041312 SACRAMENTO CNTY REC
08-91	STAT TX LN		08120602	9108120602	100	3041312 SACRAMENTO CNTY REC

DATE	MEMBER CODE	MEMBER NAME	DATE	MEMBER CODE	MEMBER NAME
07-05-94	3907336	CBR MRD	12-22-93	1233910	FIRST CARD
10-06-93	1224169	ATT UNIVERSAL CARD	06-24-93	3994790	US DEPT OF STATE
06-17-93	3901767	U S DEPT OF STATE			

----- CONSUMER REFERRAL DATA -----

VENDOR: T R W	LOCATION: TRW INFORMATION SERVICES
BUREAU ID: TNJ1	12606 GREENVILLE AVENUE
PULL DATE: 940718	DALLAS, TX 75243
PULL TIME: 131326	(800) 682-7654

----- CBR CUSTOM SCORING -----

CUSTOMER NUMBER: 00000049	INPUT DATE: 940718	SCORE MODEL: S515P049
ACCESS PORT: 03	INPUT TIME: 131025	SCORE VERSION: A

	SCORE	LEVEL	REASONS
FULL REPORT	121	F	
MULTIPLE 1	121	F	

----- END OF REPORT -----

7/25/66

airtel

1

To: SACs, Washington Field - Enc. (5)
Richmond - Enc.
San Francisco - Enc.
Boston - Enc.
New York - Enc.
Baltimore - Enc.

From: Director, FBI

RICHARD CHARLES HOLBROOKE
SPECIAL INQUIRY
BUDED: 8/9/66

Richard
White House has requested investigation of Holbrooke, who is being considered for White House staff position. Born 4/24/41, New York City, and resides at the Woodner Hotel, 3636 16th Street, N.W., Washington, D. C. Background data attached.

SPIN.

MAILED 6

JUL 25 1966

COMM-FBI

REC-16

MCI-15

RECORDED

16 JUL 26 1966

NOTE: Request received today from White House.

ENCLOSURE

DHY:jm
(14)

56 OCT 9 1966

Tolson _____
DeLoach _____
Mohr _____
Wick _____
Casper _____
Callahan _____
Conrad _____
Felt _____
Gale _____
Rosen _____
Sullivan _____
Tavel _____
Trotter _____
Tele. Room _____
Holmes _____
Gandy _____

MAIL ROOM ☒ TELETYPE UNIT ☐

Return to

Room 1258

UNITED STATES GOVERNMENT

Memorandum

TO : Director, FBI () DATE: 8/22/66

FROM: SAC, WFO (161-3820)

SUBJECT: RICHARD CHARLES HOLBROOKE
SPISOG ACTION:
(Records Branch)

Re WFO airtel dated 8/11/66

☐ Post and destroy
☐ File

This case will be delinquent.

b6 Per IRS
b7C

Date of Bureau deadline: 8/9/66

Reason for the delinquency Will report results of CIA, ☐ and
State Passport checks when available.

Date the report or necessary communication will reach the Bureau: 8/29/66

AEC zone designation; e. g., OR, CH, etc.:
(This applies only to 116 cases.)☒ No administrative action necessary.

LWS:blb

Routing Slip
FD-4 (Rev. 1-26-66)

Date 7/27/66

To:

☒ Director

FILE

Att.:

☐ SAC

Title

☐ ASAC

RICHARD CHARLES HOLBROOKE

☐ Supv.

SPECIAL INQUIRY

☐ Agent

☐ SE

☐ IC

☐ CC

☐ Steno

☐ Clerk

Re:

ACTION DESIRED

☐ Acknowledge

☐ Open Case

☐ Assign _____ Reassign _____

☐ Prepare lead cards

☐ Bring file

☐ Prepare tickler

☐ Call me

☐ Recharge serials

☐ Correct

☐ Return assignment card

☐ Deadline _____

☐ Return file

☐ Deadline passed

☐ Return serials

☐ Delinquent

☐ Search and return

☐ Discontinue

☐ See me

☐ Expedite

☐ Send Serials _____

☐ File

to _____

☐ For information

☐ Submit new charge out

☐ Handle

☐ Submit report by _____

☐ Initial & return

☐ Type

☐ Leads need attention

☐ Return with explanation or notation as to action taken.

RE Bureau airtel 7/25/66.

Richmond files contain no derogatory
information identifiable with following,
residing or employed in Virginia:

Applicant _____

Employee _____

Appointee XX _____

References _____

Associates XX _____

Relatives _____

WCH SAC

ROWLAND C. HALSTEAD

See reverse side

Office

Richmond

b6
b7C

THE WHITE HOUSE
Washington

MEMORANDUM

TO : Mr. Cartha D. DeLoach, FBI

July 21, 1966

FROM :

SUBJECT : FBI Investigation

b6
b7C

Subject's Name Richard Charles Holbrooke

Date of Birth April 24, 1941

Place of Birth New York City

Present Address Woodner Hotel, 3636 16th Street, NW., Washington, D.C.

MARVIN WATSON

has requested:

☐ Copy of Previous Report

☐ Name Check

☒ Full Field Investigation

Airtel to WFO
The person named above is being considered for:

☒ White House staff position

☐ Presidential appointment

☐ Position with another Agency

ATTACHMENTS:

☒ SF 86 (in duplicate) *1 to name search*

☐ SF 87, Fingerprint Card

☐ Biography

REMARKS:

REPORT SHOULD BE DELIVERED BY FBI TO:

ENCLOSURE

Holbrooke, Richard Charles W 73¹⁰ 4-24-41 CIVIL 1-C

26 L 21 W 100 17
I 1 U 001

#CO-3-20261 U. S. Secret Service Intell. Div.
Wash., D. C. 20226 7-28-66

A search of the fingerprints on the above individual has failed
to disclose prior arrest data.

JOHN EDGAR HOOVER
DIRECTOR
FEDERAL BUREAU OF INVESTIGATION

SPEC. INQ.
1/9

SECURITY INVESTIGATION DATA
FOR SENSITIVE POSITION

CASE SERIAL NO. (CSC use only)

INSTRUCTIONS.—Prepare in triplicate, using a typewriter. Fill in all items. If the answer is "No" or "None," so state. If more space is needed for any item, continue under item 28.

1. FULL NAME (Initials and abridgements of full name are not acceptable. If no middle name, show "(NM)"; if initials only, show "(no given or middle name)".)	(LAST NAME) Holbrooke	(FIRST NAME) Richard	(MIDDLE NAME) Charles	2. DATE OF BIRTH April 24, 1941
OTHER NAMES USED: (Maiden name, names by former marriages, former names changed legally or otherwise, aliases, nicknames, etc. Specify which, and show dates used.) None				3. PLACE OF BIRTH New York City
				4. ☒ MALE ☐ FEMALE
5. HEIGHT 6' 1"		WEIGHT 180	COLOR EYES blue	COLOR HAIR brown

6. ☐ SINGLE ☒ MARRIED ☐ WIDOW(ER) ☐ DIVORCED	7. IF MARRIED, WIDOWED, OR DIVORCED, GIVE FULL NAME AND DATE AND PLACE OF BIRTH OF SPOUSE OR FORMER SPOUSE. INCLUDE WIFE'S MAIDEN NAME. GIVE DATE AND PLACE OF MARRIAGE OR DIVORCE. (Give same information regarding all previous marriages and divorces.) [redacted] - Coatsville, Pa.
--	---

8. DATES AND PLACES OF RESIDENCE. (If actual places of residence differ from the mailing addresses, furnish and identify both and go back to January 1, 1937. Continue under item 28 on other side if necessary.)					Begin with present
FROM	TO	NUMBER AND STREET	CITY	STATE	
presently at the		Woodner Hotel - 3636-16th St., N. W.	Washington	D. C.	WFO
June 1963	May 1966	c/o American Embassy	Saigon	Vietnam	
Jan. 1963	May 1963	Stayed with [redacted]			
		(now at [redacted])	Arlington	Va.	RH
		AmEmbassy, Seoul)			
Sept. 1962	Jan. 1963	c/o AID training course at	Berkeley	California	SF
1958	1962	Dormitories at Brown U.	Providence	Rhode Island	BS
1950	1958	2 Obry Drive	Scarsdale	New York	NY
- 1	1950	41 W. 96th Street	New York	New York	1

9.	☒ BY BIRTH ☐ NATURALIZED	ALIEN REGISTRATION NO.	DATE, PLACE, AND COURT
☒ U.S. CITIZEN	CERT. NO.	PETITION NO.	
	☐ DERIVED-PARENTS CERT. NO(S).		
☐ ALIEN	REGISTRATION NO.	NATIVE COUNTRY	DATE AND PORT OF ENTRY

10. EDUCATION. (All schools above elementary.)				
NAME OF SCHOOL	ADDRESS	FROM (Year)	TO (Year)	DEGREES
Scarsdale High School	Scarsdale, N.Y.	1952	1958	H. S.
Brown University	Providence, R.I.	1958	1962	B. A.

11. THIS SPACE FOR FBI USE. (See also item 29.)	12. SOCIAL SECURITY NUMBER 132-32-3096			
	13. MILITARY SERVICE (Past or present) none			
	SERIAL NO. (If none, give grade or rating at separation)	BRANCH OF SERVICE (Army, Navy, Air Force, etc.)	FROM (Yr.)	TO (Yr.)

ENCLOSURE

161-4612-4

26a. REFERENCES. (Name three persons, not relatives or employers, who are aware of your qualifications and fitness.)

	NAME IN FULL	HOME ADDRESS	BUSINESS ADDRESS	YEARS KNOWN
Gen.			The White House	2
Amb			Dept. of State	2
			Scarsdale High School	9
			Scarsdale, N. Y.	

26b. CLOSE PERSONAL ASSOCIATES. (Name three persons, such as friends, schoolmates or colleagues, who know you well.)

	NAME IN FULL	HOME ADDRESS	BUSINESS ADDRESS	YEARS KNOWN
				9
				desk) 4
				2.

27. TO YOUR KNOWLEDGE, HAVE YOU EVER BEEN THE SUBJECT OF A FULL FIELD OR BACKGROUND PERSONNEL INVESTIGATION BY ANY AGENCY OF THE FEDERAL GOVERNMENT? ☒ YES ☐ NO. (If your answer is "Yes," show in item 28, (1) the name of the investigating agency (2) the approximate date of investigation, and (3) the level of security clearance granted, if known.)

28. SPACE FOR CONTINUING ANSWERS TO OTHER QUESTIONS. (Show item numbers to which answers apply. Attach a separate sheet if there is not enough space here.)

No. 27 Dept. of State - 1962 - TS
I currently hold a TS clearance from State

b6
b7C

29. REPORT OF INFORMATION DEVELOPED. (This space reserved for FBI use.)

DATE:

Before signing this form check back over it to make sure you have answered all questions fully and correctly.

CERTIFICATION

I CERTIFY that the statements made by me on this form are true, complete, and correct to the best of my knowledge and belief, and are made in good faith.

False statement on this form
is punishable by law.

July 26/1966

(SIGNATURE—Sign original and first carbon copy)

INFORMATION TO BE FURNISHED BY AGENCY

INSTRUCTIONS TO AGENCY: See Federal Personnel Manual Chapter 736 and FPM Supplement 296-31, Appendix A, for details on when this form is required and how it is used. If this is a request for investigation before appointment, insert "APPL" in the space for Date of Appointment and show information about the proposed appointment in the other spaces for appointment data. The original and the first carbon copy should be signed by the applicant or appointee. Submit the original and the unsigned carbon copy of the form, Standard Form 87 (Fingerprint Chart), and any investigative information about the person received on voucher forms or otherwise, to the United States Civil Service Commission, Bureau of Personnel Investigations, Washington, D.C., 20415. If this is a request for full field security investigation, submit these forms to the attention of the Division of Reimbursable Investigations; if this is a request for preappointment national agency checks, submit these forms to the attention of the Control Section.

RETAIN THE CARBON COPY OF STANDARD FORM 86 (SIGNED BY THE APPLICANT OR APPOINTEE) FOR YOUR FILES

DATE OF APPOINTMENT	TYPE OF APPOINTMENT ☐ EXCEPTED ☐ COMPETITIVE. (Include indefinite and temporary types of competitive appointments.)	CIVIL SERVICE REGULATION NUMBER OR OTHER APPOINTMENT AUTHORITY	TITLE OF POSITION AND GRADE OR SALARY
DEPARTMENT OR AGENCY	DUTY STATION	SEND RESULTS OF PREAPPOINTMENT CHECK TO:	
THIS IS A SENSITIVE POSITION			
(SIGNATURE AND TITLE OF AUTHORITY)			

19. HAVE YOU EVER HAD A NERVOUS BREAKDOWN OR HAVE YOU EVER HAD MEDICAL TREATMENT FOR A MENTAL CONDITION? ☐ YES ☒ NO.
(If your answer is "Yes," give details in item 28.)

20. FOREIGN COUNTRIES VISITED (SINCE 1930). (Exclusive of military service.)

COUNTRY	DATE LEFT U.S.A.	DATE RETURNED U.S.A.	PURPOSE
Vietnam	1963	1966	Official Business
France, Italy, Switzerland	1966		Official Business
Thailand	1963-64-65-66 (visits)		
European countries	1956-1957-1960-1965		Vacations

21. ARE YOU NOW, OR HAVE YOU EVER BEEN, A MEMBER OF THE COMMUNIST PARTY, U.S.A., OR ANY COMMUNIST OR FASCIST ORGANIZATION? ☐ YES ☒ NO.

22. ARE YOU NOW OR HAVE YOU EVER BEEN A MEMBER OF ANY FOREIGN OR DOMESTIC ORGANIZATION, ASSOCIATION, MOVEMENT, GROUP, OR COMBINATION OF PERSONS WHICH IS TOTALITARIAN, FASCIST, COMMUNIST, OR SUBVERSIVE, OR WHICH HAS ADOPTED, OR SHOWS, A POLICY OF ADVOCATING OR APPROVING THE COMMISSION OF ACTS OF FORCE OR VIOLENCE TO DENY OTHER PERSONS THEIR RIGHTS UNDER THE CONSTITUTION OF THE UNITED STATES, OR WHICH SEEKS TO ALTER THE FORM OF GOVERNMENT OF THE UNITED STATES BY UNCONSTITUTIONAL MEANS? ☐ YES ☒ NO.

23. IF YOUR ANSWER TO QUESTION 21 OR 22 ABOVE IS "YES," STATE THE NAMES OF ALL SUCH ORGANIZATIONS, ASSOCIATIONS, MOVEMENTS, GROUPS, OR COMBINATIONS OF PERSONS AND DATES OF MEMBERSHIP. IN ITEM 28 OR ON A SEPARATE SHEET TO BE ATTACHED TO AND MADE A PART OF THIS FORM, GIVE COMPLETE DETAILS OF YOUR ACTIVITIES THEREIN AND MAKE ANY EXPLANATION YOU DESIRE REGARDING YOUR MEMBERSHIP OR ACTIVITIES.

NAME IN FULL	ADDRESS	FROM	TO	OFFICE HELD
--------------	---------	------	----	-------------

24. MEMBERSHIP IN OTHER ORGANIZATIONS. (List all organizations in which you are now a member or have been a member, except those which show religious or political affiliations.) (If none, so state.)

NAME IN FULL	ADDRESS	TYPE	FROM	TO	OFFICE HELD
--------------	---------	------	------	----	-------------

b6
b7C

25. RELATIVES. (Parents, spouse, divorced spouse, children, brothers, and sisters, living or dead. Name of spouse should include maiden name and any other names by previous marriage. If person is dead, state "dead" after relationship and furnish information for other columns as of time of death.)

RELATION	NAME IN FULL	YEAR OF BIRTH	COUNTRY OF BIRTH	PRESENT CITIZENSHIP
Wife	[REDACTED]		USA	USA
Mother	Holbrooke Karl	1920	Germany	USA
Father (deceased)	Dan Holbrooke	1914	Russia	(USA)
Step-father	Stanley Karl	1916	USA	USA
Brother	[REDACTED]		USA	USA

14. HAVE YOU EVER BEEN DISCHARGED FROM THE ARMED FORCES UNDER OTHER THAN THE FOLLOWING CONDITIONS? ☐ YES ☒ NO
(If answer is "Yes," give details in item 28.)

15. EMPLOYMENT. (List ALL employment dates starting with your present employment. Give both month and year for all dates. Show ALL dates and addresses when unemployed. Give name under which employed if different from name now used.)

FROM	TO	NAME OF EMPLOYER (Firm or agency) AND SUPERVISOR (Full name, if known)	ADDRESS (Where employed)	TYPE OF WORK	REASON FOR LEAVING
1962	present	Department of State		FSO	NA WPC

16. HAVE YOU EVER BEEN DISCHARGED (FIRED) FROM EMPLOYMENT FOR ANY REASON? ☐ YES ☒ NO.

17. HAVE YOU EVER RESIGNED (QUIT) AFTER BEING INFORMED THAT YOUR EMPLOYER INTENDED TO DISCHARGE (FIRE) YOU FOR ANY REASON? ☐ YES ☒ NO.
(If your answer to 16 or 17 above is "Yes" give details in item 28. Show the name and address of employer, approximate date, and reasons in each case. This information should agree with the statements made in item 15—EMPLOYMENT.)

18. HAVE YOU EVER BEEN ARRESTED, TAKEN INTO CUSTODY, HELD FOR INVESTIGATION OR QUESTIONING, OR CHARGED BY ANY LAW ENFORCEMENT AUTHORITY? (You may omit: (1) Traffic violations for which you paid a fine of \$30 or less; and (2) anything that happened before your 16th birthday. All other incidents must be included, even though they were dismissed or you merely forfeited collateral.) ☐ YES ☒ NO.

IF YOUR ANSWER IS "YES," GIVE FULL DETAILS BELOW:

DATE	CHARGE	PLACE	LAW ENFORCEMENT AUTHORITY	ACTION TAKEN
------	--------	-------	------------------------------	--------------

Universal Case File Number 161A-HQ-1256328

Field Office Acquiring Evidence _____

Serial # of Originating Document 28

Date Received 2-14-99

From _____
(Name of Contributor)

(Address of Contributor)

By
(Name of Special Agent)

To Be Returned ☐ Yes ☒ No

Receipt Given ☐ Yes ☒ No

Grand Jury Material - Disseminate Only Pursuant
to Rule 6 (e), Federal Rules of Criminal Procedure
☐ Yes ☒ No

Title:

b6
b7C

Reference: _____
(Communication Enclosing Material)

Description: ☒ Original notes re interview of:

161A-HQ-1256328-1A-1

[Redacted]

No other matter -
[Redacted] house - [Redacted]

Matter closed

b6
b7C

Universal Case File Number: 161A-HQ-1256328

Field Office Acquiring Evidence: _____

Serial # of Originating Document: 28

Date Received: 2-14-99

From: _____
(Name of Contributor)

(Address of Contributor)

B

To Be Returned: ☐ Yes ☒ No

Receipt Given: ☐ Yes ☒ No

Grand Jury Material - Disseminate Only Pursuant
to Rule 6 (e), Federal Rules of Criminal Procedure:

☐ Yes ☒ No

Title: _____

Reference: _____
(Communication Enclosing Material)

Description: ☒ Original notes re interview of

2-14-99

161A-HQ-1256328-1A-2

b6
b7C

2/14



State

Dept.

①

Supplemental Report to SC of State on 2 other issues: ① Holbrook's [redacted] home - contemporaneous ^{supplied by} memo requesting Lawrence being entered in Arlington Cemetery - same time he lived @ home

b6
b7C

② Didn't disclose in financial disclosure forms. Politically could be damaging to him.

③ Forwarded report to IRS because could be tax issues - when [redacted] W/CS he held luncheon with State & [redacted] NSC

- FOIA -

- Hundreds of pages -
prog. report

Acting. Port

SAC
Spec.
Operations

(2)

4. Other high level State officials - CS paid for
lunches

P.S. saw tax liability potential probs w/
Haltrooke -

2/1/85 [redacted]

- [redacted] - [redacted] - [redacted] - [redacted]

Initial Interview - [redacted] - [redacted] - [redacted]

Deposition Report - [redacted] - [redacted] - [redacted]

b6
b7c

initial interview - [redacted] - [redacted] - [redacted]

2. [redacted] - [redacted] - [redacted] - [redacted]

[redacted] - [redacted] - [redacted] - [redacted] - [redacted]

Like [redacted] - [redacted] - [redacted] - [redacted]

-AISI-

[redacted] - [redacted] - [redacted] - [redacted] - [redacted]

Universal Case File Number: 161A-1Q-1256328

Field Office Acquiring Evidence

Serial # of Originating Document: 28

Date Received 2-14-99

From _____
(Name of Contributor)

(Name of Contributor)

(Address of Contributor)

By _____

(Name of Special Agent)

(Name of Special Agent)

To Be Returned: ☐ Yes ☒ No

Receipt Given ☐ Yes ☒ No

Grand Jury Material - Disseminate Only Pursuant
to Rule 6 (e), Federal Rules of Criminal Procedure

☐ Yes ☒ No

Title:

Reference: _____
(Communication Enclosing Material)

(Communication Enclosing Material)

Description: ☒ Original notes re interview of

2-14-90

b6
b7C

161A-40-1286328-1A-3

2-14-99

b6
b7c

DOJ, PIS

Civ. Stmt #SK
Conf. of lat. allegation

Post empl. violation Covered by SES
prohib. (Can't comm. w/ agency w/h
1 yr for pub. gain - business)

Korean US Unlapp - Contacts made
on behalf of CS Boston - Herb. takes
position he did for good of Country -

His comments - depts transcribed

DOJ OIG report lengthy -

7/29/66

AIRTEL

TO: SAC, NEW YORK

FROM: SAC, WFO (161-3820) (P)

RICHARD CHARLES HOLEROOKE

SPI

Exuded: 8/9/66

b6
b7c

ReBuairtel dated 7/25/66.

It was determined on 7/29/66, that [redacted]
[redacted] a co-worker of the appointee at the State Department
and in Saigon, Vietnam, is currently in New York on leave.
[redacted] can be reached at [redacted] New York City.

New York contact [redacted]

- 2 - New York
- (1) - Bureau
- 1 - WFO

LWS/eab:jeb
(4)

AIRTEL

56 OCT 7 1966

161-4612-2
NOT RECORDED

11 SEP 30 1966

SPECIAL INQ.

8/1/66

AIRTEL

TO: SAC, NEW YORK
FROM: SAC, WFO (161-3820) (RUC) R

"CHANGED"
RICHARD CHARLES HOLBROOKE
aka Richard Charles Albert Holbrooke
SPI

ReBuairtel ur offices 7/25/66.

Title being marked "changed" to add name of ALBERT as reflected on a "Residence and Dependency Report" in appointee's file at Department of State.

Appointee's file, Department of State, revealed appointee as of October, 1962, attending University of Cal., and residing 1739 Francisco Street, Berkeley, California.

File also listed following additional employments:

Summer 1958 - Tennis court Attendant, Scarsdale Recreation Department, Scarsdale, N. Y.

May, 1960 to July, 1960 - Transient Clerk, Supermarche Casino, Boulevard Joseph Vallier, Grenoble, Isere, France

June, 1961 to Sep., 1961 - Clerk, New York Times, New York, New York

2 - New York
2 - San Francisco (IM)
1 - Richmond (Info)
1 - Boston (Info)
1 - New York (Info)
1 - Bureau
Lys:jcb
Airtel

NOT RECORDED

11 SEP 30 1966

SPEC. INQ.

WFO 161-3820

[redacted] File also reveals [redacted]

LEADS:

O.C. VIET NAM

NEW YORK: Verify employment "New York Times" and Scarsdale Recreation Department.

SAN FRANCISCO: Verify attendance at University of California and note that [redacted]

b6
b7c

[redacted] University of California, knows appointee.

SPIN.

8/4/66

AIRTEL

TO: SAC, NEWARK
FROM: SAC, NEW YORK (161-2129)
SUBJECT: RICHARD CHARLES HOLBROOKE
SPECIAL INQUIRY
BUDED-8/9/66

ReBuairtel to WFO, 7/25/66.

The White House has requested investigation of HOLBROOKE, who is being considered for White House staff position. He was born 4/24/41, NYC, and resides at the Woodner Hotel, 3636 16th St., Northwest, WDC. Reference [redacted] Scarsdale, NY High School, has known applicant 9 years. [redacted] employed for the summer at Humanities Department, Associate Education Testing Services, Princeton, NJ, NK interview [redacted]

b6
b7C

2-Newark
1-Bureau
1-New York

RLS:jca
(5)

56 OCT 7 1966

161-4612-4
NOT RECORDED

1 AUG 5 1966

Spec. Inv.

8/4/66

AIRTEL

AIR MAIL

TO: SAC, LOS ANGELES
FROM: SAC, SAN FRANCISCO (161-1004)(P)
SUBJECT: RICHARD CHARLES HOLBROOKE, aka
Richard Charles Albert Holbrooke
SPECIAL INQUIRY
Buded: 8/9/66

b6
b7C

Reference Bureau airtel, 7/25/66.

The White House has requested investigation of HOLBROOKE who is being considered for a White House staff position.

He was born 4/24/41, New York City, and resides at the Woodner Hotel, 3636 16th Street, Northwest, Washington, D.C. HOLBROOKE listed on Standard Form 86 the address of care of AID Training Course, September, 1962 to January, 1963 at Berkeley, California.

Investigation at Berkeley disclosed that Mr. HOLBROOKE was enrolled in the Southeast Asia Training Course, June 1, 1962 to March 31, 1963 and program supervisor was [redacted]

[redacted] is presently on the staff at the University of California at Los Angeles.

2 - Los Angeles
1 - Bureau
1 - San Francisco
WJB:kec
(4)

U.S. DEPT. OF JUSTICE
F B I

AUG 8 1 43 PM '66

RECORDED-275

56 OCT 7 1966

161-4612-5
NOT RECORDED

10 AUG 6 1966

Spec. Inq.

SF 161-1004
WJB:kec

LEADS

LOS ANGELES DIVISION

AT LOS ANGELES, CALIFORNIA. Will interview
[redacted] at the University of California
regarding his knowledge of RICHARD CHARLES HOLBROOKE.

b6
b7C

Investigation continuing, San Francisco Office.

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE BALTIMORE	OFFICE OF ORIGIN BUREAU	DATE 8/5/66	INVESTIGATIVE PERIOD 7/28 - 8/3/66
TITLE OF CASE RICHARD CHARLES HOLBROOKE		REPORT MADE BY SA 	TYPED BY mk
		CHARACTER OF CASE SPECIAL INQUIRY	

REFERENCES:

Bureau airtel, dated 7/25/66.

RUC

A*
COVER PAGECase has been: Pending over one year ☐ Yes ☐ No; Pending prosecution over six months ☐ Yes ☐ No

APPROVED

SPECIAL AGENT
IN CHARGE

COPIES MADE:

①-Bureau

1-Baltimore (161-2096)

DO NOT WRITE IN SPACES BELOW

161-4612-6	REC 30
NOT RECORDED 16 AUG 8 1966	

Dissemination Record of Attached Report

Agency				
Request Recd.				
Date Fwd.				
How Fwd.	56 OCT 7 1966			
By				

Notations

Spec. Inq.

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to:

Report of:
Date:SA [REDACTED]
August 5, 1966

Office: BALTIMORE

Field Office File #:

BA 161-2096

Bureau File #:

b6
b7C

Title:

RICHARD CHARLES HOLBROOKE
[REDACTED]

Character:

SPECIAL INQUIRY
[REDACTED]

Synopsis:

Neighborhood inquiry [REDACTED] favorable
No credit or identification record
appointee. [REDACTED]

RUC

DETAILS:The following investigation was conducted by
SA [REDACTED] at Charles County, Maryland, on July 28,
1966.NEIGHBORHOODEMPLOYED AS
[REDACTED]

PA- Maryland knows [REDACTED]

as daughter of [REDACTED]

who reside at [REDACTED]

came to [REDACTED]

about [REDACTED]

years ago from Pennsylvania. [REDACTED]

the local [REDACTED]

and also a weekly [REDACTED]

publication [REDACTED]
[REDACTED]

[redacted] said [redacted] is married to RICHARD HOLBROOKE and although [redacted] only knows of Mr. HOLBROOKE as a Federal government employee he knows nothing derogatory concerning him. He said RICHARD and [redacted] HOLBROOKE recently returned from overseas and [redacted] for the past three weeks has been visiting with her parents until her husband is relocated in Washington, D.C.

[redacted] said that the [redacted] are very nice people who enjoy a good reputation in the local [redacted] area and he knows nothing derogatory concerning [redacted] character, reputation or loyalty.

CREDIT AND IDENTIFICATION

b6
b7c

[redacted] of Southern Maryland Credit Bureau, and [redacted] of Charles County Sheriff's Office, informed there is no record in their respective files for RICHARD CHARLES HOLBROOKE.

[redacted]

MISCELLANEOUS

The Defense Central Index of Investigations (DCII), Fort Holabird, Maryland, comprising indices to Army and Navy investigative files, was checked through a representative of that agency on August 3, 1966, for IC [redacted] without locating any record of the captioned individual.

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE SAN FRANCISCO	OFFICE OF ORIGIN BUREAU	DATE 8/5/66	INVESTIGATIVE PERIOD 7/29 - 8/4/66
TITLE OF CASE RICHARD CHARLES HOLBROOKE, aka Richard Charles Albert Holbrooke		REPORT MADE BY 	TYPED BY rg
		CHARACTER OF CASE SPI	

b6
b7C

REFERENCES: Bureau airtel dated 7/25/66.
WFO airtel to New York, dated 8/1/66.
San Francisco airtel to Los Angeles, dated
8/4/66.

- P -

LEADSAN FRANCISCO

AT LITTLE NORWAY, LAKE TAHOE, CALIFORNIA:
 AD and Peace Corps Training Program, University of California
is presently vacationing in the Sierras. San Francisco will
interview and submit report.

- A* -
COVER PAGE

APPROVED 	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE: 1 - Bureau (AMSD) 1 - San Francisco (61-1004)		161-4612-7 NOT RECORDED 11 AUG 8 1966	
DISSEMINATION RECORD OF ATTACHED REPORT		NOTATIONS	
AGENCY			
REQUEST RECD.			
DATE FWD.	56 OCT 7 1966		
HOW FWD.			
BY			

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to:

Report of: [REDACTED]

Date:

8/5/66

Office: SAN FRANCISCO

Field Office File #: 161-1004

Bureau File #:

Title:

RICHARD CHARLES HOLBROOKE

Character:

SPECIAL INQUIRY

Synopsis:

Appointee's attendance at the AID Training course at Berkeley, California, verified. Residence verified and credit and police failed to disclose any record identifiable with Appointee.

b6
b7C

- P -

DETAILS:At Berkeley, CaliforniaEDUCATION

On August 4, 1966, [REDACTED]

[REDACTED] Community Development Project, University of California (UC), advised that the Appointee attended the Southeast Asia Training Course June 1 to March 31, 1962 and 1963, and his [REDACTED]

[REDACTED] who is presently on the faculty at the UC at Los Angeles. [REDACTED] further advised that [REDACTED]

[REDACTED] for the Community Development Project, is presently vacationing at Little Norway, Lake Tahoe, California, and is not expected to return before September:

[REDACTED] advised that he was not attending the university during the time the Appointee was there, therefore, he did not have any knowledge of him.

SF 161-1004

WJB/rg

[redacted] further advised that no address was listed for the Appointee, however the Appointee could have possibly rented a room at the Hotel Durant, Berkeley, because many of the students reside at this hotel during their training period.

The following investigation was conducted by
IC [redacted] on August 4, 1966:

[redacted] Registrar's Office, UC, advised that RICHARD CHARLES HOLBROOKE attended the first summer session in 1959, completing one course in Elementary Russian. Appointee's address was listed as 2517 Parker Street while attending the university. [redacted] further advised that the file contained no information regarding the Appointee's attendance in the AID Training Course at Berkeley, however, this was not to be construed that the Appointee was not there.

POLICE RECORDS

b6
b7C

[redacted] UC Police Department, advised a search of the files failed to disclose any record identifiable with Appointee.

The following investigation was conducted by
SA [redacted]

NEIGHBORHOOD

On August 4, 1966, [redacted] Hotel Durant, 2600 Durant Avenue, advised that a check of the registrations for 1962 and 1963 failed to disclose any record for the Appointee.

On August 4, 1966, [redacted] advised that she has lived in the area since 1947, however, she never became acquainted with the Appointee. [redacted] advised that the apartments located at [redacted] are rented primarily by college students and has a complete turnover annually.

The following persons were contacted at [redacted] and advised that they did not know the Appointee: [redacted]

SF 161-1004

WJB/rg

[redacted] advised that she has lived in the neighborhood for thirty years, however, she never became acquainted with the Appointee. She advised that the only person who would have knowledge of the Appointee would be the manager, [redacted] California.

At Albany, California

On August 4, 1966, [redacted] advised that she is [redacted] located at [redacted]. She further advised that a review of the rental agreements disclosed that the Appointee resided at 1739 Francisco Street, Apartment 26, from September 24, 1962 through January 18, 1963. [redacted] advised she was not personally acquainted with the Appointee, however, she never received any complaints concerning his character, associates, or loyalty.

b6
b7C

[redacted] was unable to suggest any names of persons who would have knowledge of the Appointee.

It is to be noted that the UC Student Directory for the school years 1962 and 1963 failed to disclose any listing for the name RICHARD CHARLES HOLBROOKE or RICHARD CHARLES ALBERT HOLBROOKE.

On August 4, 1966, [redacted] (it is noted that [redacted] are intersecting streets), advised that residences at 2515 through 2519 on Parker Street were demolished approximately two years ago and new apartments were constructed.

[redacted] advised that she has lived in the area approximately forty years, however, she never became acquainted with the Appointee nor could she suggest any names of persons who may have knowledge of the Appointee.

The following investigation was conducted by
IC [redacted]

CREDIT AND POLICE RECORDS

SF 161-1004

WJB/rg

At Berkeley, California

The records of the Berkeley Police Department were reviewed on July 29, 1966, and failed to disclose any information that could be identified with the Appointee, RICHARD CHARLES HOLBROOKE.

At Oakland, California

On July 29, 1966, the records of the Credit Bureau of the Greater East Bay failed to disclose any information identifiable with Appointee RICHARD CHARLES HOLBROOKE.

This agency covers Berkeley, California.

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE BOSTON	OFFICE OF ORIGIN BUREAU	DATE 8-5-66	INVESTIGATIVE PERIOD 7/29 - 8/2/66
TITLE OF CASE RICHARD CHARLES HOLBROOKE		REPORT MADE BY 	TYPED BY MCG
		CHARACTER OF CASE SPECIAL INQUIRY b6 b7C	

REFERENCE: Bureau airtel to WFO dated 7-25-66.

- RUC -

INFORMANTS:

Identity

T-1 is Location

b7D

-A*-

COVER PAGECase has been: Pending over one year ☐ Yes ☐ No; Pending prosecution over six months ☐ Yes ☐ No

APPROVED

SPECIAL AGENT
IN CHARGE

DO NOT WRITE IN SPACES BELOW

COPIES MADE:

1 - Bureau

1 - Boston (161-1608)

161-4612-8

NOT RECORDED

3 AUG 8 1966

Dissemination Record of Attached Report

Agency	RECEIVED		
Request Recd.			
Date Fwd.	56 OCT 7 1966		
How Fwd.			
By			

Notations

Spec. Inv.

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to:

Report of:

Date:

8-5-66

Office: Boston, Massachusetts

Field Office File #: 161-1608

Bureau File #:

Title: RICHARD CHARLES HOLBROOKE

Character: SPECIAL INQUIRY

Synopsis:

RICHARD CHARLES HOLBROOKE graduated from Brown University, Providence, R.I. on 6-4-62. Rated in middle third of class. Associates recommend. No credit or arrest record. Name of RICHARD HOLBROOKE, Brown University, on list of names described as membership list of Fair Play for Cuba Committee and Forum for Civil Liberties at Brown University in 1961.

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RUC -

DETAILS:

EDUCATION

[redacted] Registrar's Office, Brown University, Providence, Rhode Island, advised on July 29, 1966, that the files of her office reflect that RICHARD CHARLES HOLBROOKE entered this University in September, 1958, and graduated on June 4, 1962 with an A.B. Degree, majoring in History. He was born April 24, 1941 in New York City and came here from Scarsdale High School, where he was graduated in 1958. His home address was listed as 2 Obry Drive, Scarsdale, New York. He stood in the middle third of his class at graduation, but had been on the Dean's List in the third and fourth semesters.

[redacted] stated that while in attendance at the University, he resided on campus.

BS 161-1608

I [redacted] of Housing, Brown University, Providence, Rhode Island, advised on August 1, 1966, that he recalled RICHARD CHARLES HOLBROOKE as having been in attendance and graduated from this University in 1962. He stated that he enjoyed a good reputation in the community and was of good character, reputation and associations, and was loyal to this country. He stated that based on his knowledge of HOLBROOKE, he would recommend him for a position of trust.

[redacted] Economic Department, Brown University, Providence, Rhode Island, advised on August 1, 1966, that he recalled RICHARD CHARLES HOLBROOK as having been a student in one or more of his Economics classes. He found him to be a good student, industrious and diligent in his studies. He stated that he recalled him as being of good character, reputation, and associations, and considered him to be a loyal American citizen. He stated he would recommend him for a position of trust.

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[redacted] Economics Department, Brown University, Providence, Rhode Island, advised on August 1, 1966, that he recalled RICHARD CHARLES HOLBROOKE as being a student in his classes about five years ago. He considered him a good student, who made a good appearance, and was well liked by his associates. He considered him to be of good character, reputation and associations, and to be a loyal American citizen. He stated he would recommend him for a position of trust without any hesitation.

[redacted] Political Science Department, Brown University, advised on August 1, 1966, that she recalled RICHARD C. HOLBROOKE as being a former student at the University. She did not know him very well, but considered him to be of good character, knew that he enjoyed a good reputation, and believed that he was of good associations. She stated there was no question as to his loyalty to this country, and would recommend him for a position of trust.

[redacted] Political Science Department, Brown University, advised on August 1, 1966, that he did not recall the applicant.

BS 161-1608.

CREDIT

[redacted] Credit Bureau, 40 Fountain Street, Providence, Rhode Island, advised on August 2, 1966, that the files of her office reflect no record for RICHARD CHARLES HOLBROOKE.

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ARREST

[redacted] Bureau of Criminal Identification, Providence County Courthouse, Providence, Rhode Island, a central repository for all criminal conviction records within the State of Rhode Island, advised on August 2, 1966, that the files of his office reflect no record for RICHARD CHARLES HOLBROOKE.

Officer [redacted], Identification Division, Providence, Rhode Island, Police Department, advised on August 2, 1966, that the files of his office reflect no record for RICHARD CHARLES HOLBROOKE.

MISCELLANEOUS

BS T-1 advised on May 22, 1961, that the name of RICHARD HOLBROOKE, Brown University, was among a list of names described as a membership list of the Forum for Civil Liberties, and Fair Play for Cuba Committee at Brown University. It was indicated that these individuals ought to be interested in obtaining copies of the "National Guardian" in 1961.

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[redacted] Brown University, Providence, Rhode Island, advised on August 1, 1966, that the Forum for Civil Liberties was active only in 1961. It was organized by a group of Brown and Pembroke College students who held meetings to which speakers were invited for group discussions of current events of interest. It was moderate in nature and had very few members.

Documentation of the "National Guardian" and the Fair Play for Cuba Committee are attached hereto.

1.

APPENDIX

FAIR PLAY FOR CUBA COMMITTEE

The April 6, 1960, edition of "The New York Times" newspaper contained a full-page advertisement captioned "What is Really Happening in Cuba," placed by the Fair Play for Cuba Committee (FPCC). This advertisement announced the formation of the FPCC in New York City and declared the FPCC intended to promulgate "the truth about revolutionary Cuba" to neutralize the distorted American press.

"The New York Times" edition of January 11, 1961, reported that at a hearing conducted before the United States Senate Internal Security Subcommittee on January 10, 1961, Dr. Charles A. Santos-Buch identified himself and Robert Taber as organizers of the FPCC. He also testified he and Taber obtained funds from the Cuban Government which were applied toward the cost of the aforementioned advertisement.

On May 16, 1963, a source advised that during the first two years of the FPCC's existence there was a struggle between Communist Party (CP) and Socialist Workers Party (SWP) elements to exert their power within the FPCC and thereby influence FPCC policy. This source added that during the past year there had been a successful effort by FPCC leadership to minimize the role of these and other organizations in the FPCC so that their influence as of May, 1963 was negligible.

The SWP has been designated pursuant to Executive Order 10450.

On May 20, 1963, a second source advised that

[redacted] was then

[redacted]
[redacted]
[redacted] other organization. This source stated that [redacted] believed that the FPCC should advocate resumption of diplomatic relations between Cuba and the United States and should support the right of Cubans to manage their revolution without interference from other nations. [redacted] did not advocate supporting the Cuba revolution per se.

b7D

2.

APPENDIX

FAIR PLAY FOR CUBA COMMITTEE (Cont.)

The November 23, 1963, edition of "The New York Times" reported that Senator Thomas J. Dodd of Connecticut had called FPCC "the chief public relations instrument of the Castro network in the United States." It is to be noted that Senator Dodd was a member of the Senate Internal Security Subcommittee which twice conducted hearings on the FPCC.

The December 27, 1963, edition of "The New York World Telegram and Sun" newspaper stated that the pro-Castro FPCC was seeking to go out of business and that its prime activity during its lifetime had been sponsorship of pro-Castro street rallies and mass picket lines, and the direction of an active propaganda mill highlighting illegal travel-to-Cuba campaigns. Its comparatively brief span of life was attributed to mounting anti-Castro American public opinion, the 1962 Congressional hearings which disclosed FPCC financing by Castro's United Nations Delegation, and ultimately, the bad publicity which the FPCC received from disclosure of activities on its behalf by suspected presidential assassin Lee H. Oswald.

On February 6, 1964, a third source advised that there had not been any FPCC activity in many months and that the FPCC had been dissolved.

BS 161-1608

1.

APPENDIX

"NATIONAL GUARDIAN".

The "Guide to Subversive Organizations and Publications," revised and published as of December 1, 1961, prepared and released by the Committee on Un-American Activities, United States House of Representatives, Washington, D. C., contains the following concerning the "National Guardian":

"National Guardian.

- "1. 'established by the American Labor Party in 1947 as a "progressive" weekly * * *. Although it denies having any affiliation with the Communist Party, it has manifested itself from the beginning as a virtual official propaganda arm of Soviet Russia.' (Committee on Un-American Activities, Report, Trial by Treason: The National Committee to Secure Justice for the Rosenbergs and Morton Sobell, August 25, 1956, p. 12.)"



*In Reply, Please Refer to
File No.*

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION
Boston, Massachusetts
August 5, 1966

Title RICHARD CHARLES HOLBROOKE

Character SPECIAL INQUIRY

b6
b7C

Reference Report of Special Agent
[redacted] dated and captioned
as above at Boston, Massachusetts.

All sources (except any listed below) whose identities are concealed in referenced communication have furnished reliable information in the past.

8/8/66

AIRTEL

TO: SAC, NEW YORK
FROM: SAC, WFO (161-3820) (P)
RICHARD CHARLES HOLBROOKE
SPI

REBuairtel to NY dated 7/25/66.

Appointee's file, Office of Security, USDS, revealed the following additional addresses:

1958 - 1961

350 Central Park West
New York, New York

June, 1960 -
September, 1960

14 Jones Street
New York, New York

The above is being furnished for your information.

2 - New York
1 - Bureau
1 - WFO

LWS:pag
(4)

AIRTEL

56 OCT 7 1966

161-4612-9
NOT RECORDED

11 SEP 30 1966

SPEC INQ

FEDERAL BUREAU OF INVESTIGATION
U. S. DEPARTMENT OF JUSTICE
COMMUNICATIONS SECTION

AUG 8 1966

TELETYPE

Mr. Tolson	_____
Mr. DeLoach	_____
Mr. Mohr	_____
Mr. Wick	_____
Mr. Casper	_____
Mr. Callahan	_____
Mr. Conrad	_____
Mr. Felt	_____
Mr. Gale	_____
Mr. Rosen	_____
Mr. Sullivan	_____
Mr. Tavel	_____
Mr. Trotter	_____
Tele. Room	_____
Miss Holmes	_____
Miss Gandy	_____

FBI WASH DC

FBI LOS ANG

723 PM PDT DEFERRED 8-8-66 PLS
TO DIRECTOR
FROM LOS ANGELES (161-1057) (RUC)

MR. CLEVELAND
ROOM 1246

RICHARD CHARLES HOLBROOKE, AKA RICHARD CHARLES ALBERT HOLBROOKE
SPECIAL INQUIRY, BUDED EIGHT NINE SIXTY SIX.

RE SAN FRANCISCO AIRTEL, EIGHT FOUR SIXTY SIX.

[REDACTED]

[REDACTED]

CALIFORNIA, TODAY ADVISED HE

WAS [REDACTED] BERKELEY

b6
b7C

JUNE ONE NINETEEN SIXTY TWO TO MARCH THIRTY ONE NINETEEN
SIXTY THREE IN WHICH RICHARD CHARLES HOLBROOKE WAS ENROLLED.

[REDACTED] HIGHLY RECOMMENDS HOLBROOKE FOR RESPONSIBLE POSITION
IN GOVERNMENT. HOLBROOKE HAS ENJOYED EXCELLENT REPUTATION
OF EXCELLENT CHARACTER, A LOYAL CITIZEN AND HAS ASSOCIATES OF
VERY GOOD CHARACTER. REPORT OF SA J. MARTELL BIRD SUBMITTED
EIGHT EIGHT INSTANT.

END

WA...RCH

FBI WASH DC

56 OCT 7 1966

7/8
1 cc destroyed
9/20/66
W.H. [unclear]

161-4612-10

NOT RECORDED

11 SEP 30 1966

SPEC. INQ.

8/8/66

AIRTEL

TO: SAC, NEW YORK
FROM: SAC, WFO (161-3820) (P)
RICHARD CHARLES HOLBROOKE
SPI

ReBuairtel 7/25/66, copy to NY.

DAVID RUSK, listed personal associate of appointee, recommends appointee and stated that to his knowledge the appointee's mother and step-father resided together for several years before they were married.

NY attempt to verify above if not already done.

SPIN

2 - New York
① - Bureau
1 - WFO

LWS:elm
(4)

AIRTEL

56 OCT 7 1966

161-4612-11

NOT RECORDED

11 SEP 30 1966

SPEC. INQ.

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEWARK	OFFICE OF ORIGIN BUREAU	DATE 8/8/66	INVESTIGATIVE PERIOD 8/8/66
TITLE OF CASE RICHARD CHARLES HOLBROOKE		REPORT MADE BY 	TYPED BY jtm
		CHARACTER OF CASE SPI	

b6
b7C

REFERENCE: New York airtel to Newark dated 8/4/66.

-RUC-

Case has been: Pending over one year ☐ Yes ☐ No; Pending prosecution over six months ☐ Yes ☐ No

APPROVED

SPECIAL AGENT
IN CHARGE

DO NOT WRITE IN SPACES BELOW

COPIES MADE:

1 - Bureau (SD)

1 - Newark (161-933)

161-4612-12

NOT RECORDED

4 AUG 9 1966

Dissemination Record of Attached Report

Notations

Agency					
Request Recd.					
Date Fwd.	56 OCT	7 1966			
How Fwd.					
By					

-A*-
COVER PAGE

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to:

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b7C

Report of:

Date:

August 8, 1966

Office:

Newark, New Jersey

Field Office File #:

161-933

Bureau File #:

Title:

RICHARD CHARLES HOLBROOKE

Character:

SPECIAL INQUIRY

Synopsis:

Reference advised he knows of nothing which would reflect adversely on the appointee's character, reputation, loyalty, or associates. He stated he would recommend the appointee for a position of trust and confidence without any hesitation.

-RUC-

DETAILS:REFERENCE:

On August 8, 1966, [redacted] Humanities Division, Educational Testing Service, Princeton, New Jersey, advised he has known the appointee since the appointee was a student of his at Scarsdale High School, Scarsdale, New York. [redacted] said this was about nine years ago.

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[redacted] advised he knows of nothing which would reflect adversely on the appointee's character, reputation, loyalty, or associates. He stated he would recommend the appointee for a position of trust and confidence without any hesitation.

1*

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN BUREAU	DATE 8/8/66	INVESTIGATIVE PERIOD 7/27/66 - 8/8/66
TITLE OF CASE RICHARD CHARLES HOLBROOKE aka Richard Charles Albert Holbrooke		REPORT MADE BY [REDACTED]	TYPED BY gs
		CHARACTER OF CASE SPI	

REFERENCE:

Bureau airtel dated 7/25/66.

- RUC -

ADMINISTRATIVE

By airtel dated 7/29/66, WFO instructed New York to interview a [REDACTED]

[REDACTED]

On 8/4/66, [REDACTED]
[REDACTED] New York City, advised that she is a friend of the
[REDACTED] family and is currently residing in their apartment.

She advised that [REDACTED]
are presently vacationing in the northwest portion of the United States. She does not have their itinerary and stated that they will not return to New York until after 8/15/66.

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b7CCase has been: Pending over one year ☐ Yes ☐ No; Pending prosecution over six months ☐ Yes ☐ No

APPROVED

SPECIAL AGENT
IN CHARGE

DO NOT WRITE IN SPACES BELOW

COPIES MADE:

1-Bureau
1-New York (161-2129)

161-4612-13

REG-30
EX-117

NOT RECORDED

4 AUG 9 1966

Dissemination Record of Attached Report

Notations

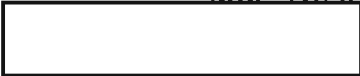
Agency			
Request Recd.			
Date Fwd.	56 OCT 7 1966		
How Fwd.			
By			

Spec. Agt.

NY 161-2129

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New York is making no further efforts to interview



- B* -
COVER PAGE

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to:

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b7C

Report of:

[Redacted]

Office: New York, New York

Date:

8/6/66

Field Office File #: 161-2129

Bureau File #:

Title:

RICHARD CHARLES HOLBROOKE

Character:

SPECIAL INQUIRY

Synopsis:

Birth and employments verified. No unfavorable information developed. Residence of appointee in New York City not verified. No credit or arrest record located for the appointee. No pertinent information located in "New York Times" Morgue.

- RUC -

NY 161-2129

DETAILS:

Birth

On August 1, 1966, IC [redacted] reviewed the records of the Manhattan Bureau of Vital Statistics. These records show that RICHARD CHARLES ALBERT HOLBROOKE was born on April 24, 1941, to DAN HOLBROOKE and TRUDI MOOS. The records show that DAN HOLBROOKE was born in Poland and employed as a physician at Mount Sinai Hospital. TRUDI MOOS was born in Germany and her employment was shown as a housewife.

Employments

Neilsens Ice Cream Company,
Incorporated,
41 Pearl Street
Port Chester, New York

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[redacted] advised SA ROBERT L. STEVENSON, JR. on August 4, 1966, that the appointee worked for that company in 1958. The exact dates are not available. The appointee carried Social Security Number 132-32-3096. He resided at 2 Obry Drive, Scarsdale, New York. The appointee worked in the Scarsdale, New York, store located at 874 Scarsdale Avenue, Scarsdale, New York.

[redacted] Neilsens Ice Cream Company, Incorporated, 874 Scarsdale Avenue, Scarsdale, New York, advised SA STEVENSON on August 4, 1966, that he recalled the appointee working for him about eight years ago during the summer. He stated that he knew of nothing unfavorable regarding the character, reputation, loyalty or associates of the appointee and knew of no reason why he should not have access to classified government material. He stated that he would be the only one at the firm who would know the appointee.

NY 161-2129

Scarsdale Recreation Department
Village Hall
Post Road
Scarsdale, New York

[redacted] of Recreation,
advised SA STEVENSON on August 4, 1966, that the appointee
was employed as a Tennis Attendant during July and August,
1958, at which time he resided at 2 Obry Drive, Scarsdale,
New York. The records indicate his employment was
satisfactory and he is eligible to be rehired.

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[redacted] advised that there is nobody available
who would know the appointee.

NY 161-2129

"New York Times"
229 West 43rd Street
New York, New York

On August 3, 1966, [redacted] Personnel Department, "New York Times", advised his records show that RICHARD CHARLES HOLBROOKE, was employed as an office boy from June 5, 1961 to September 9, 1961. The appointee carried Social Security Number 132-32-3096 and resided at 14 Jones Street, New York City. The records show that on an application dated June 22, 1961, the appointee indicated that he had been previously employed at Neilsens, Scarsdale, New York, from March, 1958 to June, 1958, as a soda jerk. ✓ b6 b7C

[redacted] advised that the appointee left the "New York Times" in order to return to school. His record with the "New York Times" was satisfactory and he met all the job requirements. [redacted] was unable to suggest anyone with the "New York Times" at the present time who would know the appointee. ✓

NY 161-2129

Neighborhood

14 Jones Street
New York, New York

On August 4, 1966, [redacted]
14 Jones Street, New York, New York, advised that he could not recall the appointee as having been a tenant at that address. He suggested that the oldest tenant in the building was [redacted] and that she was the only person he could suggest who might know the appointee personally.

On August 4, 1966, [redacted]
[redacted] New York, advised that she was not acquainted with the appointee.

On August 5, 1966, [redacted] Healo Realty Company, 33-46 76th Street, Jackson Heights, New York, advised that his firm owns the property located at the captioned address. [redacted] advised that there has never been a tenant at that address by the name of HOLBROOKE. He advised that it is possible that the appointee resided there with another tenant without his knowledge.

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Credit

On August 1, 1966, [redacted]
Credit Bureau of Greater New York, advised IC [redacted]
[redacted] that she could locate no record for the appointee.

[redacted] Westchester Credit Bureau, 300 Hamilton Avenue, White Plains, New York, advised SA STEVENSON on August 4, 1966, that there was no record for the appointee.

Arrest

On August 1, 1966, SA AUGUST J. MICEK caused the records of the New York City Police Department to be checked by Deputy Inspector [redacted] Bureau of Criminal Identification; Patrolman [redacted] Information Unit; Sergeant [redacted] Old Record Room (all of the above of the New York City Police Department); and [redacted] Fingerprint Bureau, Criminal Court of the City of New York. No record was located for the appointee.

NY 161-2129

Chief of Police JAMES M. LYONS, Scarsdale, New York, Police Department, advised SA STEVENSON on August 4, 1966, that there was no record for the appointee, his parents, stepfather or brother. He stated that the HOLBROOKE family formerly resided at 2 Obry Drive, Scarsdale, New York. He stated that Mr. HOLBROOKE died and Mrs. HOLBROOKE remarried.

Lieutenant [redacted] Greenburgh Police Department, White Plains, New York, advised SA STEVENSON on August 4, 1966, that TRUDI KEARL, STANLEY KEARL and [redacted] all resided at 344 Sprain Road, Scarsdale, New York. He advised that Greenburgh Police Department covers that address and there was no record for any member of the KEARL family or for [redacted].

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Miscellaneous

BORN APPROX. [redacted] U.S.

On August 1, 1966, a review of the records of the "New York Times" Morgue, 229 West 43rd Street, New York, New York, failed to disclose any pertinent information concerning the appointee.

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE SAN FRANCISCO	OFFICE OF ORIGIN BUREAU	DATE 8/8/66	INVESTIGATIVE PERIOD 8/5-8/66
TITLE OF CASE RICHARD CHARLES HOLBROOKE, aka Richard Charles Albert Holbrooke		REPORT MADE BY 	TYPED BY vlh
		CHARACTER OF CASE SPI	

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b7c

REFERENCE: Report of SA 8/5/66, at
San Francisco.

-RUC-

-A*-
COVER PAGE

APPROVED <i>C. J. [Signature]</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE: ① - Bureau (AMSD) 1 - San Francisco (161-1004)		161-4612-14 NOT RECORDED 9 AUG 10 1966	
		Spec. [Signature]	
DISSEMINATION RECORD OF ATTACHED REPORT		NOTATIONS	
AGENCY			
REQUEST REC'D			
DATE FWD.	56 OCT 7 1966		
HOW FWD.			
BY			

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to:

Report of: [REDACTED]

Date:

August 8, 1966

Office: SAN FRANCISCO

Field Office File #: 161-1004

Bureau File #:

Title: RICHARD CHARLES HOLBROOKE

b6
b7C

Character: SPECIAL INQUIRY

Synopsis:

[REDACTED] favorably recommends for position of trust with the government.

- RUC -

DETAILS:

The following investigation was conducted by SA

AT LITTLE NORWAY, CALIFORNIA

On August 5, 1966, [REDACTED] advised that she remembers RICHARD HOLBROOKE very well. She stated that she became acquainted with him in 1962 while he was working as an intern for the State Department. She stated that she was recruiting applicants for the Peace Corps Community Service Program in Viet Nam at Washington DC. She stated that she readily recommended HOLBROOKE for this program after her initial interview. She stated that the training course for this program was held at the University of California at Berkeley from 1962 through 1963.

She advised that she visited this program on several occasions and observed HOLBROOKE at this time. He was living at the International House in Berkeley during this training. She stated that the last time she saw HOLBROOKE was in Viet Nam in late 1963 or early 1964.

SF161-1004
DGL:vlh

[] stated that HOLBROOKE was one of the most brilliant students she has ever recruited for the Peace Corps Program. She stated that he was intellectually arrogant, temperamental and very talkative. She stated that because of his arrogance, coupled with the fact that he was a brilliant person, most of the students in the program did not like him. She further advised that in spite of his arrogance along these lines, he was a good student and apparently did a fine job in Viet Nam.

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She stated that nothing has ever come to her attention that would cast an unfavorable light on his honesty, integrity, or loyalty to the United States. She stated that she would have no reservations in recommending him for any position with the government.

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE LOS ANGELES	OFFICE OF ORIGIN BUREAU	DATE 8/8/66	INVESTIGATIVE PERIOD 8/8/66
TITLE OF CASE RICHARD CHARLES HOLBROOKE aka Richard Charles Albert Holbrooke		REPORT MADE BY J. MARTELL BIRD	TYPED BY grj
		CHARACTER OF CASE SPECIAL INQUIRY	

REFERENCE: San Francisco airtel to Los Angeles 8/4/66.

- RUC -

- A* -
COVER PAGE

Case has been: Pending over one year ☐ Yes ☐ No; Pending prosecution over six months ☐ Yes ☐ No

APPROVED <i>WMM</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW	
COPIES MADE: 1 - Bureau (AIR MAIL) 1 - Los Angeles (161-1057)		161-4612-15 NOT RECORDED 3 AUG 10 1966	
Dissemination Record of Attached Report		Notations	
Agency		<i>Spec. Inf.</i>	
Request Recd.			
Date Fwd.	56 OCT 7 1966		
How Fwd.			
By	774		

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to:

Report of: J. MARTELL BIRD
Date: August 8, 1966

Office: Los Angeles, California

Field Office File #: 161-1057

Bureau File #:

Title: RICHARD CHARLES HOLBROOKE

Character: SPECIAL INQUIRY

b6
b7C

Synopsis:

[redacted] HOLBROOKE in Southeast Asia Training Course, June 1, 1962 to March 31, 1963 at Berkeley, California, as part of Agency for International Development Program. [redacted] said HOLBROOKE was the youngest in the course and at the time he regarded him to be a very brilliant young man, full of enthusiasm and initiative. He said that HOLBROOKE gave the indication of being somewhat rebellious toward the AID Training Program and stated that he felt the training given to accomplish the work expected in Viet Nam was practically useless. [redacted] said that in retrospect, he realizes they did not have much to give to HOLBROOKE and the other trainees and feels HOLBROOKE was right in his evaluation and criticism of the Program. [redacted] highly recommends HOLBROOKE for a responsible position in the government and stated HOLBROOKE enjoys excellent character and reputation, is a loyal citizen of the United States and at the time he was known to [redacted] associated with individuals of very good reputations. [redacted] recommends HOLBROOKE as a young man of outstanding abilities and a sincere desire to succeed.

- RUC -

LA 161-1057

DETAILS:

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b7C

[redacted]
[redacted] California, presently [redacted]
University of California at Los Angeles (UCLA), Los Angeles
California, was interviewed August 8, 1966 by SA [redacted]
[redacted] at [redacted] Calif-
ornia.

[redacted] advised that RICHARD CHARLES HOLBROOKE was a student enrolled in the Southeast Asia Training Course, sponsored by the Agency for International Development (AID), at Berkeley, California, June 1, 1962 to March 31, 1963. [redacted]

[redacted] for the Southeast Asia Training Course and as such became well acquainted with Mr. HOLBROOKE.

[redacted] recalled Mr. HOLBROOKE as the youngest of the students in the course and a brilliant young man, full of enthusiasm and initiative. He said that HOLBROOKE gave the impression of being quite rebellious toward the AID Training Course and on occasion voiced his opinion that the training and information given, with the goal of accomplishing work in Viet Nam was practically useless. [redacted] said that at the time he was quite unhappy about the attitude of HOLBROOKE but in retrospect he now realizes that HOLBROOKE was quite correct in his opinion, that actually very little was given during the course that would be of material assistance in the community development work that was expected of the students upon completion of the course. [redacted] said that he now feels HOLBROOKE was quite right in his evaluation and criticism of the training course.

[redacted] said that he felt HOLBROOKE was quite immature at the time of the course, primarily because of the critical attitude he displayed concerning the subject matter. He said he now understands HOLBROOKE is not the type that blindly follows instructions and blindly accepts information given to him but is an independent thinker.

LA 161-1057

[] said that he has been advised that HOLBROOKE did an outstanding job in community development in Viet Nam and was probably the member of the course that accomplished the most in the practical application of the AID program. He said HOLBROOKE definitely would do his best work where he would be relatively free of confining instructions and regulations and could utilize his intelligence and initiative to its fullest. [] said that HOLBROOKE has a great enthusiasm and desire to accomplish whatever assignments which might be given to him.

b6
b7C

[] highly recommends Mr. HOLBROOKE for any responsible position in government. He said HOLBROOKE enjoys an excellent reputation and is of outstanding character. He regards Mr. HOLBROOKE as a loyal citizen of the United States and said that as of the time he was associated with him, HOLBROOKE associated with individuals of very good reputations. He recommended HOLBROOKE as a young man of outstanding abilities and a very sincere desire to succeed.

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE WASHINGTON FIELD	OFFICE OF ORIGIN BUREAU	DATE 8/9/66	INVESTIGATIVE PERIOD 7/26 - 8/8/66
TITLE OF CASE RICHARD CHARLES HOLBROOKE, aka Richard Charles Albert Holbrooke		REPORT MADE BY SA [REDACTED]	TYPED BY bmr
		CHARACTER OF CASE SPI	b6 b7C

REFERENCE: Bureau airtel dated 7/25/66.

- P - ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED
DATE 3-4-86 BY SP4ELW/66m
#259493

ADMINISTRATIVE

Bureau note matter captioned "FRANK G. WISNER
MISCELLANEOUS INFORMATION CONCERNING ESPIONAGE", which is
possibly identical with appointee's listed personal
associate, FRANK WISNER.

INFORMANT

U.S.
VIETNAM

WF T-1 is the Foreign Service Personnel File for
the appointee at the Department of State, reviewed by SA
JOSEPH W. SPEICHER on 7/28/66. A T symbol is utilized in
accordance with the Foreign Service Act of 1946.

Case has been: Pending over one year ☐ Yes ☐ No; Pending prosecution over six months ☐ Yes ☐ No

APPROVED

SPECIAL AGENT
IN CHARGE

COPIES MADE:

- ① - Bureau
- 1 - WFO (161-3820)

DO NOT WRITE IN SPACES BELOW

161-4612-16

REC 30

NOT RECORDED

SEP 30 1966

EX 109

Dissemination Record of Attached Report

Notations

Agency	Request Recd.	Date Fwd.	How Fwd.	By
	56 OCT 7 1966			

SPEC. INQ.

WFO 161-3820

LEADS

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WASHINGTON FIELD

PP AT WASHINGTON, D.C. Will report the results of
CIA^ and ☐ checks when available.

Will furnish Bureau copies of State Security
reports reflecting interview with appointee and investigation
in France regarding appointee.

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to:

Report of: SA [REDACTED]
Date: 8/9/66

Office: Washington, D.C.

Field Office File #: 161-3820

Bureau File #:

Title: RICHARD CHARLES HOLBROOKE

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Character: SPECIAL INQUIRY

Synopsis: Appointee employed Department of State and presently on detail to White House. Professional associates recommended, residence verified, references and personal associates recommend. Credit Bureau. Incorporated. reveals no credit rating for appointee [REDACTED] Police agency checks negative. HCUA negative. No additional information CSC. Secret Service negative. State Security file reviewed.

- P -

DETAILS: AT WASHINGTON, D.C.EMPLOYMENTALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED
DATE 2-4-86 BY SP9BJL/6cm

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WFO 161-3820

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The White House Office (WHO)

The following investigation was conducted by SA [redacted]

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On July 29, 1966, [redacted] WHO, advised that the appointee, RICHARD CHARLES HOLBROOKE, was detailed from the State Department to the Office of ROBERT KOMER, Special Assistant to the President on July 14, 1966, and that he is presently so employed. She stated that her office would contain no additional information concerning the appointee.

On August 1, 1966, ^{William} ROBERT KOMER, Special Assistant to the President, advised that he first became acquainted with the appointee approximately four months ago in Vietnam when he, KOMER, was there on official business. He stated that he was very favorably impressed with the appointee and that approximately two or three weeks ago he arranged for the appointee's detail to this office. He further advised that the appointee came very highly recommended from General MAXWELL TAYLOR. KOMER pointed out that he did not feel he was in a position to make a personal recommendation concerning the appointee, but that since joining the staff as a "staff member," he has done a very good job and feels he is going to "work out satisfactorily."

On August 2, 1966, Lieutenant Colonel [redacted] United States Army, [redacted]

[redacted] advised that he has known the appointee since September, 1965, having met him at the American Embassy in Saigon, Vietnam. He stated he worked with the appointee until June, 1965, when he, Colonel [redacted] was reassigned to the United States. He stated that they maintained contact with each other and that they have been assigned to the same office for the past several weeks working for Mr. KOMER. He further advised that he is acquainted with the

appointee's family and that he has had both social and personal contact with him. Colonel [] described the appointee as a very able young man, dedicated to his country and that he has always been favorably impressed with him. He further advised that the appointee is a devoted family man whose personal habits are above reproach and that he knows nothing of an unfavorable nature concerning the appointee's character, associates, reputation or loyalty. He highly recommend the appointee for a position of trust and confidence. b6 b7C

On August 1, 1966 []

[] General MAXWELL E. TAYLOR, []

[] advised that he has known the appointee for approximately two years, having first met him in Vietnam when General TAYLOR was Ambassador to Vietnam, and in that respect both he and the appointee were on General TAYLOR's staff. He stated that he has also had social contact with him. [] described the appointee as a very intelligent young man who ~~is~~ ^{was} very highly regarded in the American Embassy in Vietnam. He stated that his comments would be completely favorable concerning his character, associates, reputation and loyalty and would highly recommend the appointee for a position of trust and confidence.

It is to be noted that General TAYLOR was listed as a personal reference by the appointee and in this respect, [] advised that TAYLOR is out of town and will not be available for a week or so. He stated that he felt he was in a position to speak for the General in this case, due to the fact that on many occasions General TAYLOR spoke extremely high of the appointee and that he is aware that General TAYLOR recommended him to []. He further advised that he felt the General would concur in his statement concerning the appointee and favorable recommend him for a position of trust and confidence.

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JWS:lsv

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DEPARTMENT OF STATE

The files of WF T-1, another government agency which maintains personnel folders, contained the following verification of the government employment of RICHARD CHARLES HOLBROOKE, as of July 28, 1966:

July 11, 1962	Limited appointment as Foreign Service Reserve Officer, Foreign Service Institute, Department of State, Washington, D. C.
September 16, 1962	Reimbursable detail to the Agency for International Development (AID), to attend University of California, Berkeley, California.
October 14, 1962	Separated from Foreign Service Reserve Corps and appointed by the President as Foreign Service Officer, Vice Consul and Secretary in the Diplomatic Service, while still serving at the University of California, on detail for AID.
January 20, 1963	Reassigned to the Foreign Service Institute, Washington, D. C., for Vietnamese language training.
May 26, 1963	Transferred to Saigon, Viet-Nam, on detail to AID as Assistant Development Officer, United States AID Mission to Viet-Nam, Saigon, Viet-Nam.
May 22, 1965	Termination of reimbursable assignment to AID, to return to Department of State.
May 23, 1965	Reassigned as Political Officer and Third Secretary, Department of State, Saigon, Viet-Nam. Currently on the rolls in this capacity.

The files of WF T-1 list appointee's birthdate as April 24, 1941, at New York, New York. A "Travel Message" in file dated May 17, 1966, indicates that the appointee, his wife and one child were to leave Saigon on May 21, 1966, under transfer to Washington, D. C. His estimated date of arrival

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2

in Washington, D. C., was shown as July 15, 1966. A "Travel Message" dated May 12, 1966, in file, indicates that the appointee is to be given a non-reimbursable assignment to the White House.

Appointee's files reflects that he was awarded a Meritorious Service Increase on September 3, 1965, in recognition of his performance in Viet-Nam. ~~The files contain no additional pertinent information.~~ ADDITIONAL INFORMATION WAS UTILIZED.

A security file for the appointee, RICHARD C. HOLBROOKE, at AID, reviewed on July 28, 1966, by SA JOSEPH W. SPEICHER, reflected that he was granted "Top Secret" clearance by AID on April 16, 1963, based on an investigation by the Office of Security, Department of State during 1962. This clearance was granted in connection with appointee's reimbursable detail to AID, from the Department of State for the period September 17, 1962, to May 22, 1965, and his clearance terminated on May 22, 1965, when his reimbursable assignment ended.

This file indicated that the appointee was to undergo training at the University of California, Berkeley, California, upon commencement of his reimbursable assignment with AID in September, 1962.

The file listed appointee's birthdate as April 24, 1941, in New York, New York, and contained no additional pertinent information.

On July 29, 1966, [REDACTED]

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[REDACTED] Department of State, (Reference) advised SA JOSEPH W. SPEICHER that he had known the appointee primarily professionally in Saigon, Viet-Nam from June, 1964, to September, 1965, as a co-worker. [REDACTED] described the appointee as "one of the outstanding, if not the most out-

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3

standing, young Foreign Service Officers, in Viet-Nam." He stated that he has no question whatever regarding appointee's loyalty to his country and added that his character, reputation, associations, are of the highest type. He recommended the appointee for a Government position of trust remarking that he is an extremely able, intelligent, hard working, and dedicated individual. He added that the appointee's wife is also a very fine person.

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On July 29, 1966, [redacted]

[redacted] for Far Eastern Affairs, Department of State, advised SA SPEICHER that he has known the appointee quite well both socially and officially since they entered the Foreign Service together in 1962. [redacted]

[redacted] indicated that they were in training together in Washington, D. C., from July, 1962, to September, 1962, and again from January, 1963, to April, 1963. They later worked together closely in Viet-Nam from 1963 to 1965 and he added that he has seen the appointee on several occasions since his recent return to Washington, D. C. [redacted] mentioned that the appointee and his wife and their only child have been staying temporarily at the Woodner Hotel while looking for a home.

[redacted] stated that he considers the appointee to be a loyal United States citizen and a man of excellent character, reputation, and associations. He recommended the appointee "without question" for a position of trust and confidence with the Government. [redacted] commented that the appointee is a very able, intelligent, conscientious, and a dependable individual. He added that appointee's wife is likewise a very fine person.

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JWS:lsv

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On July 29, 1966, [redacted]

[redacted] Viet-Nam Working Group, Bureau of Far Eastern Affairs, Department of State, advised SA JOSEPH W. SPEICHER that he has known the appointee, RICHARD G. HOLBROOKE, socially and professionally as a co-worker from 1963 to 1964 in Viet-Nam. He indicated that he has seen him several times recently since his return to the Washington, D. C. area from Viet-Nam.

[redacted] described the appointee as a loyal United States citizen and a person of very good character, reputation, and associations. He recommended the appointee for a Government position of trust, commenting that he is a bright, alert, energetic, and reliable officer.

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On July 29, 1966, [redacted]

[redacted] Viet-Nam Working Group, Bureau of Far Eastern Affairs, Department of State, advised SA SPEICHER that he has known the appointee socially and officially since 1963. He indicated that he worked with the appointee from January, 1963, to May, 1963, in Washington, D. C., and then was a co-worker in Viet-Nam during 1963 and 1966. He mentioned that he had seen him several times during the past week or two since his return from Viet-Nam.

[redacted] reported that he has no doubts whatever concerning appointee's loyalty to his country. He added that appointee's character, reputation, and associations are above reproach and he recommended him for a position of trust and confidence with the Government.

On July 29, 1966, [redacted]

[redacted] Viet-Nam Working Group, Bureau of Far Eastern Affairs, Department of State, advised SA SPEICHER that he has known the appointee socially and professionally since 1963. He indicated that he worked closely with the appointee in Viet-Nam during 1963 and 1964 and has seen him several times recently.

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[] stated that he considers the appointee to be a loyal and a dedicated United States citizen and a man of the very highest character, reputation, and associations. He recommended the appointee for a position of trust and confidence with the Government.

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On August 1, 1966, [redacted] Viet-Nam Working Group, Bureau of Far Eastern Affairs, Department of State, advised SA JOSEPH W. SPEICHER that he has known the appointee, RICHARD C. HOLBROOKE, both socially and professionally since 1963. He explained that he served with the appointee in Viet-Nam from 1963 to 1965 and has seen him several times recently in Washington, D. C.

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[redacted] stated that he considers the appointee to be a loyal United States citizen and a man of excellent character, reputation, and integrity. He recommended the appointee for a Government position of trust commenting that he is a capable, intelligent, hard working and dependable individual. He added that appointee's wife is likewise a fine person.

On August 1, 1966, [redacted] Office of Research and Analysis for the Far East, Department of State, advised SA SPEICHER that he had known the appointee socially and professionally as a co-worker in Viet-Nam from 1963 to 1965. [redacted] described the appointee as a loyal and dedicated United States citizen and a man of very good character, reputation, and associations. He recommended the appointee for a position of trust and confidence with the Government.

On August 1, 1966, [redacted] for Montagnard Affairs, United States A.I.D. Mission to Viet-Nam, Agency for International Development (A.I.D.), advised SA SPEICHER that he had known the appointee socially and officially as a co-worker in Viet-Nam from 1964 to 1966.

[redacted] reported that he has no doubts regarding appointee's loyalty to his country. He added that appointee's character, reputation, and associations are of the highest type and he recommended him "without question" for a Government position of trust.

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[redacted] Office of Viet-Nam Affairs, Bureau for the Far East, A.I.D., advised SA SPEICHER that ^{he} had known the appointee socially and professionally as a co-worker in Viet-Nam from 1963 to 1965. [redacted] stated that he considers the appointee to be a loyal United States citizen and a man of very good character, reputation, and associations. He recommended the appointee for a Government position of trust, commenting that he is very intelligent, hard working, dedicated, and reliable. He added that appointee's wife is also a very fine person.

On August 1, 1966, [redacted] b6 b7C
[redacted] Office of Development Planning, Bureau for the Far East, A.I.D., advised SA SPEICHER that he had known the appointee socially and officially as a co-worker from 1963 to 1965 in Viet-Nam. [redacted] described the appointee as a loyal and devoted citizen of the United States and a man of the very highest character, reputation, and associations. He recommended the appointee for a position of trust and confidence with the Government.

On August 1, 1966, [redacted]
Laos Division, Office of Southeast Asia Affairs, Bureau of the Far East, A.I.D., advised SA SPEICHER that he had known the appointee casually in an official capacity as a co-worker from 1963 to 1965 in Viet-Nam. [redacted] reported that he considers the appointee to be a loyal United States citizen and a man of very good character, reputation, and associations. He recommended the appointee for a Government position of trust, remarking that he is an able, intelligent, discreet, and dependable individual.

WFO 161-3820

PTH:bai

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The following investigation was conducted by SA's [redacted] and [redacted] on August 4, 1966:

[redacted] Rand Corporation, 600 Connecticut Avenue N. W., advised that he has known the appointee for slightly over two years on both a professional and social basis. He advised that he was the appointee's supervisor for approximately six months in 1964, in Vietnam when both were employed by the Agency for International Development. He advised that he has met the appointee's mother on one occasion and is acquainted with his wife. He stated the appointee and his wife have a son who is less than one year old. The appointee and his wife are currently residing at the Woodner Hotel on 16th Street N. W., and are presently in the process of seeking a home. b6 b7C

[redacted] advised that he worked particularly close with the appointee when they were in Vietnam and the appointee was assigned special projects. He described him as a dedicated American who possesses "a lot of promise." He commented favorably concerning the appointee's character, associates, reputation, and loyalty, and recommended him for a position of trust.

WFO 161-3820

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PERSONAL ASSOCIATE

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Washington Urban League, Incorporated, 901 New Jersey Avenue, N.W., advised SA ALBERT N. NENCIONI on August 5, 1966, he has known the appointee since 1953 when they were classmates in the seventh grade. He described the appointee as a loyal American of good character, associates and reputation. He knew of nothing unfavorable about his moral character or personal habits and said he was extremely intelligent, perceptive and hardworking. He stated that to his knowledge the appointee's mother lived with his step-father for several years before they were married, but felt that this had no relevance to the appointee's capabilities. He further advised he would recommend the appointee for a position of trust and confidence.

WFO 161-3820

LWS:ak

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CREDIT AND POLICE AGENCIES CHECKS

IC [] caused a search to be made of the files of The Credit Bureau, Incorporated, Washington, D.C., and was advised on July 27, 1966, that the files contained no credit rating for the appointee or his wife, LORRINE HOLBROOKE.

On July 27, 1966, IC [] determined that no record was contained in the Metropolitan Police Department files concerning the appointee and his wife. It is to be noted that at all times an indefinite number of unidentified records are out of file and not available for review.

On July 27, 1966, IC [] searched the files of the U. S. Park Police, and no identifiable record was found concerning the appointee and his wife. b6 b7C

IC [] caused a search to be made of the Arlington County, Virginia, Police Department, and was advised on July 28, 1966, that no record was located concerning the appointee and his wife.

MISCELLANEOUS

The files of the House Committee on Un-American Activities were reviewed on July 27, 1966, by IC [] and no identifiable record was found for the appointee.

IC [] caused a search to be made of the files of the Bureau of Personnel Investigations, Civil Service Commission, and was advised on July 29, 1966, that no additional pertinent information was found concerning the appointee.

IC [] caused a search to be made of the files of the U. S. Secret Service, Department of the Treasury, and was advised on August 1, 1966, that no record was located concerning the appointee.

WFO 161-3820

LWS:bmr

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The following investigation was conducted by SA
[redacted] on August 3, 1966.

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Records (Security file) of the United States Department of State, Office of Security (SY) was granted a security clearance (level not stated) under EO 10450 by SY on June 30, 1962, for the position of Foreign Service Officer(FSO), FSO-8. This clearance is still in effect. It was based on an investigation in the United States and France by SY April to June, 1962.

The file contains memoranda records of three security violations. On November 19, 1964, he was charged with leaving a classified (non sensitive) memorandum on his desk at the United States Operations Missions, Saigon. On May 25, 1965 he left confidential documents on his desk at the Embassy in Saigon. On October 7, 1965, he was charged with leaving a Limited-Official Use document on a co-workers desk without adequate protection at the Embassy in Saigon. On January 13, 1965, in a letter from the Acting Deputy Assistant Secretary for Security he was cautioned concerning the violation report of November 19, 1964.

FBI

Date: 8/11/66

Transmit the following in _____
(Type in plaintext or code)Via AIRTEL _____
(Priority)

TO: DIRECTOR, FBI

FROM: SAC, WFO (161-3820) (P)

RICHARD CHARLES HOLBROOKE,
aka
SPIb6
b7CRe Report of SA [REDACTED] dated 8/9/66
at Washington, D. C.Enclosed for the Bureau's information is one
copy each of the following reports regarding the appointee
obtained from the Security Office, Department of State:Report of [REDACTED] dated 5/28/62
at Paris, FranceReport of [REDACTED] dated 4/11/62
at Washington, D. C.Will report the results of CIA, IRS, and State
Passport checks when available.1 - Bureau (Enc. 2)
1 - WFOLWS:deh
(2)AIRTEL161-4612-17
NOT RECORDED

11 SEP 30 1966

SPEC. INQ.

56 OCT 7 1966

Approved: _____
Special Agent in Charge

Sent _____ M Per _____

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE NEW YORK	OFFICE OF ORIGIN BUREAU	DATE 8/17/66	INVESTIGATIVE PERIOD 8/9 - 8/17/66
TITLE OF CASE RICHARD CHARLES HOLBROOKE aka Richard Charles Albert Holbrooke		RE 	TYPED BY la.j
		CHARACTER OF CASE SPI	

b6
b7cREFERENCE:

WFOairtels, dated 8/8/66.

- RUC -

ADMINISTRATIVE:

A lead is being set forth in this case by separate communication, for the ALO, to verify the marriage of TRUDI HOLBROOKE KEARL and STANLEY KEARL, since it is not known where their marriage occurred.

STANLEY HOLBROOKEBORN APPROX. 1916-U.S.EMPLOYED AS SCULPTOR314 SPRAIN RD., SCARSDALE, N.Y.

APPROVED

SPECIAL AGENT
IN CHARGE

DO NOT WRITE IN SPACES BELOW

COPIES MADE:

- ① - Bureau
1 - New York (161-2129)

161-4612	18	REC 30
NOT RECORDED		EXT 109
18 AUG 19 1966		

Dissemination Record of Attached Report				
Agency				
Request Recd.				
Date Fwd.	56 OCT 7 1966			
How Fwd.	F150			
By				

Notations

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Copy to:

Report of:

Date:

8/17/66

Office: New York, New York

Field Office File #:

161-2129

Bureau File #:

Title:

RICHARD CHARLES HOLBROOKE

b6
b7C

Character:

SPECIAL INQUIRY

Synopsis:

TRUDI HOLBROOKE and STANLEY KEARL resided at 350 Central Park West, under the names Mr. and Mrs. STANLEY HOLBROOKE. An employee at that address believes that they were not married at the time they resided there. [redacted] commented favorably regarding the appointee and furnished background of the HOLBROOKE family.

- RUC -

NY 161-2129

DETAILS:

Neighborhoods

2 Obry Drive
Scarsdale, New York

On August 10, 1966, [redacted]
[redacted] Scarsdale, New York, advised SA ROBERT L. STEVENSON,
JR., that she did not know the appointee. She advised
that there are only five houses in the area and the only
remaining resident since the HOLBROOKES moved is [redacted]

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On August 10, 1966, [redacted]
[redacted] Scarsdale, advised SA STEVENSON that she is the
[redacted] who would know the
HOLBROOKES. She advised that Dr. DANIEL HOLBROOKE died
about 1956. Mrs. HOLBROOKE and her two children moved to
Riverdale, New York City, about two years later, as the
house was much too big for them. She advised that she never
heard of anyone by the name STANLEY KEARL. She recommended
the HOLBROOKE family regarding character, reputation, loyalty
and associates.

Chief of Police JAMES M. LYONS, Scarsdale, New York,
Police Department, advised SA STEVENSON, on August 10, 1966,
that he did not know how he knew Mrs. HOLBROOKE had remarried.
He advised he probably met her in the village and she told
him.

344 Sprain Road
Scarsdale, New York

On August 10, 1966, [redacted]
[redacted] Scarsdale, New York, advised SA STEVENSON that the
KEARL family has been living at 344 Sprain Road about four
years. She did not know where they lived prior to moving
to Sprain Road.

NY 161-2129

She advised there was a [redacted] by Mrs. KEARL's first marriage and [redacted] is now in the United States Army Engineers. She stated that Mrs. KEARL's first husband was supposed to be a well-known Surgeon in New York City, and he died at an early age. There was another son, but he never lived at the Sprain Road residence. She stated that Mr. KEARL is a Sculptor and she understands he has a good reputation in New York City, and has exhibited his works. She knew of nothing unfavorable regarding the character, reputation, loyalty and associates of any of the appointee's relatives.

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[redacted]
Scarsdale, advised SA STEVENSON, on August 10, 1966, that the KEARL family has been in the neighborhood about four years. She stated that there is a [redacted] by Mrs. KEARL's first marriage. She advised that she understood Mrs. HOLBROOKE's first husband died. She recommended the KEARL family regarding character, reputation, loyalty and associates, and stated she did not know the appointee.

[redacted] Scarsdale, New York, advised SA STEVENSON, on August 10, 1966, that she has known the KEARL family about four years. She has not had close contact with them, but they impressed her as very fine people. She knew of nothing unfavorable regarding the character, reputation, loyalty and associates of Mr. or Mrs. KEARL, or [redacted] Mrs. KEARL's son. She did not know the appointee.

350 Central Park West
New York, New York

On August 12, 1966, [redacted] advised that Mr. and Mrs. STANLEY HOLBROOKE resided in Apartment 9-G, at above-captioned address, for about two years, from 1959 to 1961.

NY 161-2129

He stated that they moved in the apartment together and also left at the same time. [] stated that he had the impression that Mr. and Mrs. HOLBROOKE were not married and that she had a husband who lived somewhere else. He based this opinion on the fact that Mr. and Mrs. HOLBROOKE never went out together, but always went their separate ways. He also stated that STANLEY HOLBROOKE received mail under the name of STANLEY KEARL. He also noted that Mrs. HOLBROOKE was away from the apartment for about a month or so.

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[] advised that Mrs. HOLBROOKE had a son who occasionally visited their apartment, but he never became well-acquainted with this young man. He advised that he knew nothing which would lead him to question the family's loyalty to the United States, and he knew of no reason that the appointee should not be employed by the United States Government.

[] advised that none of the present tenants on the Ninth Floor were living in the building at the time the HOLBROOKE's were there.

On August 12, 1966, [] Henry Moscowitz Realty Company, 10 Columbus Circle, New York, New York, advised his records show that Apartment 9-G, at 350 Central Park West, was rented by a TRUDI HOLBROOKE, from November 15, 1958 until June 15, 1961.

On an application, dated October 27, 1958, TRUDI HOLBROOKE listed her present residence as 2 Obry Drive, Scarsdale, New York, and indicated that she had previously lived at 41 West 96th Street, New York, New York. She indicated that there would be two adults and two children occupying the apartment.

[] advised that he was not personally acquainted with TRUDI HOLBROOKE.

NY 161-2129

344 SPRAIN ROAD, SCARSDALE, N.Y.

Miscellaneous

PC 9-15-20 - GERMAN

On August 15, 1966, [redacted]

Wall Street, New York, New York, advised that he has known the appointee since infancy and that he has taken care of the legal affairs of the HOLBROOKE family, for the past 25 years. He described the appointee as a serious, sensitive boy who is very studious. He knows of no reason to question the appointee's loyalty to the United States, and recommended him for a position of trust and confidence.

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[redacted] advised that the appointee's paternal grandmother is AGNES HOLBROOKE, 163 East 87th Street, New York, New York. He advised that her husband is now deceased. He stated that the appointee's maternal grandparents were SAMUEL MOOS and VALESCA MOOS. SAMUEL MOOS is now deceased, but VALESCA MOOS is living in Zurich, Switzerland. He advised that the MOOS family originally came from Germany, and in the '1930's, settled in Buenos Aires, Argentina, where MOOS established the firm of ELIAS MOOS, one of the biggest exporters of hides in Argentina. TRUDI MOOS came to the United States in the late 1930's to be married.

ELAND
RUBIA

[redacted] advised that TRUDI HOLBROOKE KEARL has a brother, [redacted] living in Ascona, Switzerland; and two sisters, [redacted] Buenos Aires, Argentina; and [redacted] living in Paris, France. [redacted] husband, [redacted] is now a partner in the firm, [redacted], in Argentina.

[redacted] advised that DANIEL HOLBROOKE died in about 1957, and that TRUDI HOLBROOKE remarried about six or seven years ago. [redacted] advised that he does not know where the marriage took place and stated that it was an "informal affair".

- 5* -

SWITZERLAND
GERMANY
ARGENTINA

ARGENTINA

8/17/66

AIRTEL

TO: SAC, ALBANY

FROM: SAC, NEW YORK (161-2129)

SUBJECT: RICHARD CHARLES HOLBROOKE
SPECIAL INQUIRY
BUDED PAST

White House has requested investigation of ~~HOLBROOKE~~ who is being considered for White House staff position. Born 4/24/41, at NYC and resides at the Woodner Hotel, 3636 16th Street NW, Washington, D. C.

WFO has developed information to the effect that the appointee's mother, TRUDI MOOS HOLBROOKE KEARL, and his stepfather, STANLEY KEARL, were living together prior to their marriage. TRUDI KEARL was born in 1920 and STANLEY KEARL was born in 1916. Both presently reside at 344 Sprain Road, Scarsdale, NY.

Albany check marriage records for NY State from 1958 to 1966 in order to verify the date of KEARL's marriage to the appointee's mother.

2 - Albany
1 - Bureau
1 - New York

PLT:smg
(5)

56 OCT 7 1966

161-4612-19
NOT RECORDED

5 AUG 18 1966

Spec. Inq.

8/23/66

AIRTEL

AIRMAIL

TO: SAC, NEW YORK (161-2129)
FROM: SAC, ALBANY (161-728) (RUC)
SUBJECT: RICHARD CHARLES HOLBROOKE
SPECIAL INQUIRY
BUDED PAST

Re New York airtel to Albany dated 8/17/66.

[redacted] Bureau of Vital
Statistics, Albany, New York, advised on 8/22/66 that
she could locate no record of the marriage of TRUDI
MOOS HOLBROOKE KEARL and STANLEY KEARL. She also
said that if the marriage license were purchased in
New York City, the Bureau of Vital Statistics, New York
City, would maintain the record even if they were married
elsewhere. She further stated that April, 1966 is the
most recent date of her records. *N*

2 - New York
1 - Bureau
1 - Albany
JR:mer
(4)

F150
56 OCT 7 1966

161-4612-20
NOT RECORDED

9 AUG 25 1966

Spec. Inv.

b6
b7C

F B I

Date: 8/23/66

Transmit the following in _____
(Type in plaintext or code)

AIRTEL

Via _____
(Priority)

TO: DIRECTOR, FBI

FROM: SAC, WFO (161-3820) (P)

RICHARD CHARLES HOLBROOKE, aka
SPIRe report of SA [redacted] dated
8/9/66.SA [redacted] caused a search to be
made of the files of the [redacted]
[redacted]

Pending IR3 and State Passport checks.

b3 Per CIA

① - Bureau
1 - WFOLWS:laa
(2)AIRTEL

Per OGA letter dated 5/25/2011

161-4612-
NOT RECORDED

11 SEP 30 1966

SPEC. INQ.
22

56 OCT 7 1966

Approved: _____

Special Agent in Charge

Sent _____

M

Per _____

F B I

Date: 8/24/66

Transmit the following in _____
(Type in plaintext or code)Via AIRTEL _____
(Priority)

TO: DIRECTOR, FBI

FROM: SAC, WFO (161-3820) (RUC)

RICHARD CHARLES HOLBROOKE, aka
SPIRerep of SA [redacted] dated 8/9/66 at
Washington, D. C.b6
b7C

On August 24, 1966, IC [redacted] reviewed the appointee's file at the Passport Office, Department of State, which listed his birth as April 24, 1941 at New York, New York.

On April 30, 1963, the appointee, RICHARD CHARLES ALBERT HOLBROOKE, was issued diplomatic passport #X-013015 for proposed travel of two years' duration to Japan, Philippines, Hong Kong and Vietnam for Department of State assignment. On or about April 19, 1965 he had diplomatic passport #X-013015 revalidated for travel to France, Switzerland and Thailand. The passport was marked for repeated trips. He indicated that he was previously issued passport #2067679 on April 8, 1960, however the application for this passport was not available for review.

He indicated that he was never married and listed his parents as DAN HOLBROOKE, born about 1914 in Poland and TRUDI MOOS, born September 15, 1920 in Germany.

The file contained no additional pertinent information.

1 - Bureau
1 - WFO

161-4612-23

NOT RECORDED

SEP 30 1966

LWS:lfe

(2)

Approved: [Signature]
Special Agent in Charge

Sent _____ M Per _____

SPEC. INQ.

August 26, 1966

BY LIAISON

1 - Mr. Gale

1 -

1 -

pk
Encl
+

Honorable Marvin Watson
Special Assistant to the President
The White House
Washington, D. C.

Dear Mr. Watson:

Transmitted herewith is a summary memorandum containing the results of investigation regarding Richard Charles Holbrooke, which was requested by [redacted] on July 25, 1966.

Information has been received from two governmental agencies* indicating that the checks of their files concerning Mr. Holbrooke have not been completed. When the results of these checks are received, you will be advised.

The investigation of Mr. Holbrooke covered inquiries in the continental United States as to his character, loyalty, general standing and ability, but no inquiries were made as to the sources of his income.

Sincerely yours,

Delivered to
on

EC 30

601 XE

RECORDED

SEP 30 1966

Enclosure

*IRS and Passport Office, Department of State

WHB:laz

See note page 2.

Tolson _____
DeLoach _____
Mohr _____
Wick _____
Casper _____
Callahan _____
Conrad _____
Felt _____
Gale _____
Rosen _____
Sullivan _____
Tavel _____
Trotter _____
Tele. Room _____
Holmes _____
Gandy _____

56 OCT 7 1966

TELETYPE UNIT

Return to

Room 1254.

b6
b7C

Honorable Marvin Watson

NOTE: Request received from White House 7/25/66.
Holbrooke, aged 25, is a graduate of Brown University (1962).
Between 1962 and 1966 he was employed by State Department
and Agency for International Development. Since 7/66, he
has been in a staff position at White House. In 1961,
while attending Brown University, his name appeared in records
of Fair Play for Cuba Committee. There is no indication he
was active in that committee and he has been recommended as
an intelligent and loyal citizen.

1 - Mr. Gale
1
1

August 29, 1966

BY LIAISON

AUG 29 12 37 PM '66
REC'D-READING ROOM
FBI

Honorable Marvin Watson
Special Assistant to the President
The White House
Washington, D. C.

Dear Mr. Watson:

By letter dated August 26, 1966, you were furnished a summary memorandum containing the results of investigation conducted concerning Mr. Richard Charles Holbrooke.

b6
b7C

The records of the Passport Office, Department of State, indicate that Mr. Holbrooke was issued a passport in April, 1960, for travel to Europe for pleasure purposes. He was issued a diplomatic passport in April, 1963, for travel to Asia on Government business. The records of the Passport Office contain no unfavorable information concerning Mr. Holbrooke.

b3 USC 6103
b6
b7C

This concludes the investigation in this case.

Sincerely yours,

Delivered to
on 8-29-66

Tolson _____
DeLoach _____
Mohr _____
Wick _____
Casper _____
Callahan _____
Conrad _____
Felt _____
Gale _____
Rosen _____
Sullivan _____
Tavel _____
Trotter _____
Tele. Room _____
Holmes _____
Gandy _____

VHB:jmh
(5)

141-4612-25
NOT RECORDED

11 SEP 30 1966

VOC 12 2 31 PM

56 OCT 7 1966

MAIL ROOM ☐ TELETYPE UNIT ☐

Return to _____

Room 1254



UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

WASHINGTON, D.C. 20535

In Reply, Please Refer to
File No.

August 26, 1966

RICHARD CHARLES HOLBROOKE

I. BIOGRAPHICAL DATA

Birth

Mr. Holbrooke was born on April 24, 1941, in New York, New York, as Richard Charles Holbrooke. He has on occasion used the name Richard Charles Albert Holbrooke.

Education

Mr. Holbrooke attended Brown University, Providence, Rhode Island, from September, 1958, until June, 1962, receiving an A.B. degree.

During the Summer of 1957 he was enrolled in an elementary Russian language course at the University of California, Berkeley, California.

He was enrolled in a course entitled Southeast Asia Training at the University of California, Berkeley, California, from June, 1962, until January, 1963. This course was in connection with his duties at the Agency for International Development.

Employment

Mr. Holbrooke was employed by Neilsen Ice Cream Company, Incorporated, Scarsdale, New York, on a part-time basis, as a "soda jerk" from March, 1958, until June, 1958.

During July, 1958, and August, 1958, he was employed as an attendant by the Scarsdale Recreation Department, Scarsdale, New York.

From June, 1961, until September, 1961, Mr. Holbrooke was employed by "The New York Times" newspaper, New York, New York, as an office boy.

94

Richard Charles Holbrooke

On July 11, 1962, Mr. Holbrooke was appointed a Foreign Service reserve officer in the Foreign Service Institute, Department of State, Washington, D. C. On September 16, 1962, he was detailed to the Agency for International Development, Washington, D. C., and on October 14, 1962, he was appointed a Foreign Service officer. On January 20, 1963, he was reassigned to the Foreign Service Institute, Washington, D. C. He was transferred to Saigon, South Vietnam, on detail to the Agency for International Development as Assistant Development Officer on May 26, 1963. He was reassigned to the Department of State on May 22, 1965 as Political Officer and Third Secretary in South Vietnam. On July 14, 1966, he was detailed as a staff member to the office of Robert W. Komer, Special Assistant to the President, The White House, Washington, D. C. He is currently employed in this capacity.

Marital Status

Mr. Holbrooke is married to the former [redacted]. They and their minor son presently reside at the Woodner Hotel, 3636 16th Street, Northwest, Washington, D. C.

II. RESULTS OF INVESTIGATION

b6
b7C

Interviews

[redacted] Brown University, Providence, Rhode Island, advised he was acquainted with Mr. Holbrooke during Mr. Holbrooke's attendance at Brown University. He said Mr. Holbrooke enjoyed a good reputation at Brown University and he considers him a loyal American of good character and associates. He said based on his past knowledge of Mr. Holbrooke he would recommend him for a position of trust.

[redacted] who is presently employed as an instructor at the University of California, Los Angeles, California, advised he was Mr. Holbrooke's instructor at the University of California in Berkeley, California, during 1962 and 1963 at which time Mr. Holbrooke attended a course which was sponsored by the Agency for International Development. He said he became well acquainted with Mr. Holbrooke

Richard Charles Holbrooke

during this period and he recalls Mr. Holbrooke was one of the youngest students enrolled in the course. He said he found Mr. Holbrooke a brilliant young man who was full of enthusiasm and initiative. He stated, however, from Mr. Holbrooke's remarks, which he is now unable to recall, he received the impression Mr. Holbrooke was quite rebellious toward the Southeast Asia Training course in which he was enrolled. He said Mr. Holbrooke had voiced the opinion that "the training and information given with the goal of accomplishing work in Vietnam was practically useless." He stated, at the time, he was "quite unhappy about Holbrooke's attitude," but in retrospect [redacted] now realizes that Mr. Holbrooke was correct in his opinion; that actually very little was given during the course which would be of material assistance in community development work.

[redacted] stated that he has been advised that Mr. Holbrooke did an outstanding job in community development work in Vietnam. He said Mr. Holbrooke had a great sense of responsibility. He furnished favorable comments regarding Mr. Holbrooke's character, reputation, loyalty and associates, and he recommended Mr. Holbrooke for a responsible Government position.

David Rusk, Assistant Director for Programs, Washington Urban League, Incorporated, Washington, D. C., advised he has been acquainted with Mr. Holbrooke since 1953. He described Mr. Holbrooke as a loyal American of good character, reputation, habits, morals and associates. He said Mr. Holbrooke is an extremely intelligent, perceptive and hardworking individual. He mentioned that information was brought to his attention from an undisclosed source that Mr. Holbrooke's stepfather resided in the same apartment as Mr. Holbrooke's mother prior to their marriage. He mentioned that Mr. Holbrooke's brother also resided in the same apartment. He stated he can furnish no other information regarding the foregoing and he feels it has no relevance insofar as Mr. Holbrooke's capabilities are concerned. He recommended Mr. Holbrooke for a position of trust and confidence.

[redacted]
New York, New York, advised that Mr. and Mrs. Stanley Holbrooke resided in Apartment 9-G at the aforementioned address from

Richard Charles Holbrooke

1958 to 1961. He said he never became well acquainted with these individuals; however, no information was brought to his attention which would cause him to question this family's loyalty to the United States.

A representative of Moskowitz Realty, New York, New York, advised that Apartment 9-G at 350 Central Park West, was rented to Trudi Holbrooke from November, 1958, until June, 1961. When Trudi Holbrooke rented the apartment she indicated that two adults and two children would occupy the apartment.

It is noted that Mr. Holbrooke's father, Daniel Holbrooke, died in 1956, while residing in Scarsdale, New York. Mr. Holbrooke's stepfather, Stanley Kearn, reportedly married Mr. Holbrooke's mother, Trudi Moos Holbrooke, approximately six years ago. Inasmuch as there is no central index of marriage records in New York State, this marriage has not been verified. Investigation has disclosed Stanley Kearn resided in Apartment 9-G at 350 Central Park West, New York, New York, between 1958 and 1961.

Persons interviewed during the investigation advised they have no question concerning the character, reputation, loyalty or associates of Mr. Holbrooke or his close relatives.

[redacted] for Political Affairs, Department of State, Washington, D. C., advised he knew Mr. Holbrooke in Saigon, South Vietnam, from June, 1964, to September, 1965, as a co-worker. He described Mr. Holbrooke as "one of the outstanding, if not the most outstanding, young Foreign Service officers who served in Vietnam." He stated he has no question whatsoever concerning Mr. Holbrooke's character, reputation, loyalty or associates. He said Mr. Holbrooke is an extremely able, intelligent, hardworking and dedicated individual. He highly recommended Mr. Holbrooke for a position of trust and confidence.

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Robert W. Komer, Special Assistant to the President, The White House, Washington, D. C., advised he first became acquainted with Mr. Holbrooke approximately four months ago at which time he, Mr. Komer, was in Saigon on official Government business. He said he was very favorably impressed with Mr. Holbrooke and he arranged for Mr. Holbrooke's detail to his, Mr. Komer's, office. He said while he does not feel he is in a position to make a personal recommendation concerning Mr. Holbrooke, he can say that Mr. Holbrooke, since joining the staff at the White House, has done a very good job.

Richard Charles Holbrooke

[REDACTED]
[REDACTED]
to the President, was interviewed in Washington, D. C. He advised he has been acquainted with Mr. Holbrooke since September, 1963, having met Mr. Holbrooke at the United States Embassy in South Vietnam. They worked together until June, 1965, when he, Colonel [REDACTED] was reassigned to the United States. He stated that since September, 1963, he has been acquainted with Mr. Holbrooke on a social and professional basis. He described Mr. Holbrooke as a very able young man who is dedicated to this country. He stated further Mr. Holbrooke's character, reputation, loyalty and habits are above question. He highly recommended Mr. Holbrooke for a position of trust and confidence.

Twenty-four additional persons, including social acquaintances, professional associates, present and former co-workers and neighbors and college professors, were interviewed and they furnished favorable comments concerning Mr. Holbrooke's character, reputation, loyalty and associates. Those well acquainted with Mr. Holbrooke described him as a very intelligent, dedicated and hardworking individual. He was recommended for a position of trust and confidence.

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Close Relatives

Father	Daniel Holbrooke Deceased
Mother	Trudi Moos Holbrooke Kearn Scarsdale, New York
Stepfather	Stanley Kearn Scarsdale, New York
Brother	[REDACTED]

Credit and Arrest Checks

Information has been received from the appropriate credit reporting and law enforcement agencies indicating their files contain either no record or no additional pertinent information concerning Mr. Holbrooke or his close relatives.

Richard Charles Holbrooke

Security Clearances

While assigned to the Agency for International Development between September, 1962, and May, 1965, Mr. Holbrooke had an active top secret security clearance. He presently has an active security clearance with the Department of State.

Agency Checks

Information has been received from the following governmental agencies indicating their files contain [redacted] concerning Mr. Holbrooke:

b3 Per CIA

Bureau of Personnel Investigations, Civil Service Commission; House Committee on Un-American Activities; United States Secret Service; Central Intelligence Agency; Agency for International Development; Defense Central Index of Investigations, Fort Holabird, Maryland; and the White House Office.

The files of the Office of Security, Department of State, indicate that agency conducted an overseas investigation regarding Mr. Holbrooke in Paris, France, in 1962. During the Summer of 1960 Mr. Holbrooke traveled to Paris, France. No unfavorable information was developed.

The files of the Office of Security, Department of State, reveal that while stationed in Saigon, South Vietnam, Mr. Holbrooke was charged with the following security violations: on November 19, 1964, he was charged with leaving a nonsensitive classified document on his desk; on May 25, 1965, he was also charged with leaving classified documents on his desk; and on November 7, 1965, he was charged with leaving "limited official use" documents on a co-worker's desk without adequate protection. He received a caution letter regarding the November 19, 1964, violation. There is no indication that any action has been taken in regard to the other violations. The files of the Office of Security contain no additional pertinent information regarding Mr. Holbrooke.

Richard Charles Holbrooke

Miscellaneous

In May, 1961, [redacted]

[redacted] the name and address of Richard Holbrooke, Brown University, were contained in the records of the Forum for Civil Liberties and the Fair Play for Cuba Committee at Brown University. The informant was unable to advise the significance of this information.

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b7D

[redacted] whose comments are set forth hereinbefore, advised that the Forum for Civil Liberties was active at Brown University only in 1961. He said it was organized by a group of Brown University and Pembroke College students who held meetings and speakers were invited for group discussions of current events of interest. He said it was moderate in nature and it had very few members.

The Fair Play for Cuba Committee was organized at New York City in April, 1960, and served as Fidel Castro's propaganda arm in the United States until the assassination of former President John F. Kennedy, when it became inactive. At one time, the Fair Play for Cuba Committee had chapters throughout the United States and many of these chapters came under the domination of the Socialist Workers Party or the Communist Party, United States of America.

The Socialist Workers Party has been designated pursuant to Executive Order 10450.

The central files of the FBI, including the files of the Identification Division, contain no additional pertinent information concerning Mr. Holbrooke.

**CARTER - MONDALE
TRANSITION PLANNING GROUP**

P.O. Box 2600
Washington, D.C. 20013

MEMORANDUM

TO: SECTION CHIEF, EMPLOYEES SECURITY & SPECIAL INQUIRY
SECTION

FROM: *WAD*

SUBJECT: FBI BACKGROUND INVESTIGATIONS

b6
b7C

Subject's Name

Richard P. Brooke

Date of Birth *4/24/1941*

Place of Birth *New York*

Present Address

1524 Corcoran St NW

Washington D.C. 20009

We request:

Copy of Previous Report

Name Check

☒ Full Field Investigation

The person named above is being considered for:

Transition Staff Position

☒ *Pres Asst*

Attachments:

☒ SF 86 (in duplicate)

SF 87 (Fingerprint Card)

☒ Consent & Release Forms

Remarks:

*161-4612 AT #2160
WFO, AXNK, AT,
ENCLOSURE 4, + SL
1-21-77*

9/med

SECURITY INVESTIGATION DATA
FOR SENSITIVE POSITION

INSTRUCTIONS:—Prepare in triplicate, using a typewriter. Fill in all items. If the answer is "No" or "None," so state. If more space is needed for any item, continue under item 28.

1. FULL NAME (Initials and abridgements of full name are not acceptable. If no middle name, show "(NMN)"; if initials only, show "(no given or middle name)"	(LAST NAME) HOLBROOKE	(FIRST NAME) Richard	(MIDDLE NAME) Charles	2. DATE OF BIRTH APRIL 24, 1941
	OTHER NAMES USED (Maiden name, names by former marriages, former names changed legally or otherwise, aliases, nicknames, etc. Specify which, and show dates used.)			3. PLACE OF BIRTH New York
				4. ☒ MALE ☐ FEMALE
		5. HEIGHT 6' 1"	WEIGHT 180	COLOR OF EYES blue
		COLOR OF HAIR Light		

6. ☐ SINGLE ☐ MARRIED ☐ WIDOW(ER) ☒ DIVORCED	7. IF MARRIED, WIDOWED, OR DIVORCED, GIVE FULL NAME AND DATE AND PLACE WIFE'S MAIDEN NAME. GIVE DATE AND PLACE OF MARRIAGE OR DIVORCE. (Give same information regarding all previous marriages and divorces.) Married in Saigon 1964 Divorced in Washington 1974
--	---

8. DATES AND PLACES OF RESIDENCE. (If actual places of residence differ from the mailing addresses, furnish and identify both. Begin with present and go back to January 1, 1937. Continue under item 28 on other side if necessary.)

FROM	TO	NUMBER AND STREET	CITY	STATE
1974	present	1524 CORCORAN STREET, NW	WASH, D.C.	b6 b7C
1973-74		1415 Rhode Island Blvd. NW	WHITE DC	
1966-74 (except for overseas)		2328 Nebraska Ave.	WASH, D. C.	
1970-72		RABAT, MOROCCO	(Peace Corps - DoS)	
1968-69		PARIS, FRANCE	(state)	
1963-66		VIETNAM	(state)	

9. ☒ U.S. CITIZEN ☐ ALIEN	☒ BY BIRTH	☐ NATURALIZED	ALIEN REGISTRATION NO.	DATE, PLACE, AND COURT
	CERT. NO.		PETITION NO.	
☐ DERIVED-PARENTS CERT. NO(S).				
REGISTRATION NO.	NATIVE COUNTRY		DATE AND PORT OF ENTRY	

NAME OF SCHOOL	ADDRESS	FROM (Year)	TO (Year)	DEGREES
Scarsdale High School - Scarsdale, N.Y.				
Brown University			1962	B.A.
Princeton U. - Woodrow Wilson School			1969-70	(none - visitor fellow)

11. THIS SPACE FOR FBI USE. (See also item 29.)	12. SOCIAL SECURITY NUMBER 132-32-3096		
	13. MILITARY SERVICE (Past or present) None		
	SERIAL NO. (If none, give grade or rating at separation) 161-41612-28		
BRANCH OF SERVICE (Army, Navy, Air Force, etc.)		FROM (Yr.)	TO (Yr.)

ENCLOSURE

9/11/80

(If answer is "Yes," give details in item 28.)

15. EMPLOYMENT. (List ALL employment dates starting with your present employment. Give month and year for all dates. Show ALL dates and addresses when unemployed. ONE name under which employed if different from name now used.)

FROM	TO	NAME OF EMPLOYER (Firm or agency) AND SUPERVISOR (Full name, if known)	ADDRESS (Where employed)	TYPE OF WORK	REASON FOR LEAVING
------	----	--	--------------------------	--------------	--------------------

1962	1974	State Dept.			
------	------	-------------	--	--	--

1972	present	Managing Editor, FOREIGN POLICY			
------	---------	---------------------------------	--	--	--

11 DU PONT CIRCLE, NW

July - November 1976 - Governor Carter Campaign Staff
100 Colony Square
Atlanta, Ga.

16. HAVE YOU EVER BEEN DISCHARGED (FIRED) FROM EMPLOYMENT FOR ANY REASON? ☐ YES ☒ NO.

17. HAVE YOU EVER RESIGNED (QUIT) AFTER BEING INFORMED THAT YOUR EMPLOYER INTENDED TO DISCHARGE (FIRE) YOU FOR ANY REASON? ☐ YES ☒ NO.
(If your answer to 16 or 17 above is "Yes" give details in item 28. Show the name and address of employer, approximate date, and reasons in each case. This information should agree with the statements made in item 15—EMPLOYMENT.)

18. HAVE YOU EVER BEEN ARRESTED, TAKEN INTO CUSTODY, HELD FOR INVESTIGATION OR QUESTIONING, OR CHARGED BY ANY LAW ENFORCEMENT AUTHORITY? (You may omit: (1) Traffic violations for which you paid a fine of \$30 or less; and (2) anything that happened before your 16th birthday. All other incidents must be included, even though they were dismissed or you merely forfeited collateral.) ☐ YES ☒ NO.

IF YOUR ANSWER IS "YES," GIVE FULL DETAILS BELOW:

DATE	CHARGE	PLACE	LAW ENFORCEMENT AUTHORITY	ACTION TAKEN
------	--------	-------	---------------------------	--------------

(SIGNATURE AND TITLE OF AUTHORIZED AGENCY OFFICIAL)

19. HAVE YOU EVER HAD A NERVOUS BREAKDOWN OR HAVE YOU EVER HAD MEDICAL TREATMENT FOR A MENTAL CONDITION? ☐ YES ☒ NO.
(If your answer is "Yes," give details in item 28.)

20. FOREIGN COUNTRIES VISITED (SINCE 1930). (Exclusive of military service.)

COUNTRYDATE LEFT U.S.A.DATE RETURNED U.S.A.PURPOSE

21. ARE YOU NOW, OR HAVE YOU EVER BEEN, A MEMBER OF THE COMMUNIST PARTY, U.S.A., OR ANY COMMUNIST OR FASCIST ORGANIZATION? ☐ YES ☒ NO.

22. ARE YOU NOW OR HAVE YOU EVER BEEN A MEMBER OF ANY FOREIGN OR DOMESTIC ORGANIZATION, ASSOCIATION, MOVEMENT, GROUP, OR COMBINATION OF PERSONS WHICH IS TOTALITARIAN, FASCIST, COMMUNIST, OR SUBVERSIVE, OR WHICH HAS ADOPTED, OR SHOWS A POLICY OF ADVOCATING OR APPROVING THE COMMISSION OF ACTS OF FORCE OR VIOLENCE TO DENY OTHER PERSONS THEIR RIGHTS UNDER THE CONSTITUTION OF THE UNITED STATES, OR WHICH SEEKS TO ALTER THE FORM OF GOVERNMENT OF THE UNITED STATES BY UNCONSTITUTIONAL MEANS? ☐ YES ☒ NO.

23. IF YOUR ANSWER TO QUESTION 21 OR 22 ABOVE IS "YES," STATE THE NAMES OF ALL SUCH ORGANIZATIONS, ASSOCIATIONS, MOVEMENTS, GROUPS, OR COMBINATIONS OF PERSONS AND DATES OF MEMBERSHIP. IN ITEM 28 OR ON A SEPARATE SHEET TO BE ATTACHED TO AND MADE A PART OF THIS FORM, GIVE COMPLETE DETAILS OF YOUR ACTIVITIES THEREIN AND MAKE ANY EXPLANATION YOU DESIRE REGARDING YOUR MEMBERSHIP OR ACTIVITIES.

NAME IN FULLADDRESSFROMTOOFFICE HELD

24. MEMBERSHIP IN OTHER ORGANIZATIONS. (List all organizations in which you are now a member or have been a member, except those which show religious or political affiliations.) (If none, so state.)

NAME IN FULLADDRESSTYPEFROMTOOFFICE HELD

Council on Foreign Relations - E. 68th St NY NY 1969 present - none
Treasurer, International Voluntary Services, Wash, D.C.

25. RELATIVES. (Parents, spouse, divorced spouse, children, brothers, and sisters, living or dead. Name of spouse should include maiden name and any other names by previous marriage. If person is dead, state "dead" after relationship and furnish information for other columns as of time of death.)

RELATIONNAME IN FULLYEAR OF BIRTHADDRESSCOUNTRY OF BIRTHPRESENT CITIZENSHIP

Mother Trudi Keard 1920 1344 Sprain Rd Germany USA
Scarsdale, N.Y.

26a REFERENCES (Name three persons, not relatives or employers, who are aware of your qualifications and fitness.)

NAME IN FULL

HOME ADDRESS

BUSINESS ADDRESS

YEARS KNOWN

26b CLOSE PERSONAL ASSOCIATES. (Name three persons, such as friends, schoolmates or colleagues, who know you well.)

NAME IN FULL

HOME ADDRESS

BUSINESS ADDRESS

YEARS KNOWN

27. TO YOUR KNOWLEDGE, HAVE YOU EVER BEEN THE SUBJECT OF A FULL FIELD OR BACKGROUND PERSONAL INVESTIGATION BY ANY AGENCY OF THE FEDERAL GOVERNMENT? ☐ YES ☐ NO. (If your answer is "Yes," show in item 28, (1) the name of the investigating agency (2) the approximate date of investigation, and (3) the level of security clearance granted, if known.)

28. SPACE FOR CONTINUING ANSWERS TO OTHER QUESTIONS. (Show item numbers to which answers apply. Attach a separate sheet if there is not enough space here.)

29. REPORT OF INFORMATION DEVELOPED. (This space reserved for FBI use.)

DATE:

Before signing this form check back over it to make sure you have answered all questions fully and correctly.

CERTIFICATION

I CERTIFY that the statements made by me on this form are true, complete, and correct to the best of my knowledge and belief, and are made in good faith.

False statement on this form
is punishable by law.

(DATE)

(SIGNATURE—Sign original and first carbon copy)

INFORMATION TO BE FURNISHED BY AGENCY

INSTRUCTIONS TO AGENCY: See Federal Personnel Manual Chapter 736 and FPM Supplement 296-31, Appendix A, for details on when this form is required and how it is used. If this is a request for investigation before appointment, insert "APPL" in the space for Date of Appointment and show information about the proposed appointment in the other spaces for appointment data. The original and the first carbon copy should be signed by the applicant or appointee. Submit the original and the unsigned carbon copy of the form, Standard Form 87 (Fingerprint Chart), and any investigative information about the person received on voucher forms or otherwise, to the United States Civil Service Commission, Bureau of Personnel Investigations, Washington, D.C., 20415. If this is a request for full field security investigation, submit these forms to the attention of the Division of Reimbursable Investigations; if this is a request for preappointment national agency checks, submit these forms to the attention of the Control Section.

RETAIN THE CARBON COPY OF STANDARD FORM 86 (SIGNED BY THE APPLICANT OR APPOINTEE) FOR YOUR FILES

DATE OF APPOINTMENT	TYPE OF APPOINTMENT ☐ EXCEPTED ☐ COMPETITIVE (Include indefinite and temporary types of competitive appointments.)	CIVIL SERVICE REGULATION NUMBER OR OTHER APPOINTMENT AUTHORITY	TITLE OF POSITION AND GRADE OR SALARY
DEPARTMENT OR AGENCY	DUTY STATION	SEND RESULTS OF PREAPPOINTMENT CHECK TO:	
THIS IS A SENSITIVE POSITION			
(SIGNATURE AND TITLE OF AUTHORIZED AGENCY OFFICIAL)			

BLA

SECURITY INVESTIGATION DATA
FOR SENSITIVE POSITION

CASE SERIAL NO. (CSC use only)

21141/2 R659
JAN 24 1971

INSTRUCTIONS.—Prepare in quadruplicate, using a typewriter. Fill in all items. If the answer is "No" or "None," so state. If more space is needed for any item, continue under item 23.

1. FULL NAME (Initials and abridgments of full name are not acceptable)	(LAST NAME)	(FIRST NAME)	(MIDDLE NAME)	2. DATE OF BIRTH
	Holbrooke	Richard	Charles Albert	April 24, 1941
OTHER NAMES USED (Maiden name, names by former marriages, former names changed legally or otherwise, aliases, nicknames, etc. Specify which, and show dates used.)				3. PLACE OF BIRTH
NR Dick - nickname				New York City, N.Y.
				4. ☒ MALE ☐ FEMALE
				5. HEIGHT WEIGHT COLOR OF EYES COLOR OF HAIR
				6' 1" 170 blue brown

6. ☒ SINGLE ☐ MARRIED ☐ WIDOW(ER) ☐ DIVORCED	7. IF MARRIED, WIDOWED, OR DIVORCED, GIVE FULL NAME AND DATE AND PLACE OF BIRTH OF SPOUSE OR FORMER SPOUSE AND DATE AND PLACE OF MARRIAGE. INCLUDE WIFE'S MAIDEN NAME. (Give same information regarding all previous marriages.)
--	--

8. DATES AND PLACES OF RESIDENCE (If actual places of residence differ from the mailing addresses, furnish and identify both. Begin with present and go back to January 1, 1937. Continue under item 23 on other side if necessary.)	
FROM	TO
NUMBER AND STREET	CITY STATE
Sept 1961	present 193 Power St. (mailing address) Providence Rhode Island
June 1961	present 344 Sprain Rd. (place of residence) Scarsdale New York
fall 1958	June 1961 350 Central Park West (pl. of res.) New York N.Y.
fall 1958	Sept 1961 Box 916, Brown Univ. (old mailing add.) Providence R.I.
1950	fall 1958 2 Obry Drive Scarsdale N.Y.
mid-1940's	1950 41 West 96th Street New York N.Y.

(prior to this we lived in Manhattan; I do not know the address, since I was under three years old.)

9.	☒ BY BIRTH ☐ NATURALIZED	DATE, PLACE, AND COURT
☒ U.S. CITIZEN	CERT. NO. PETITION NO.	
	☐ DERIVED-PARENTS CERT. NO(S).	
☐ ALIEN	REGISTRATION NO. NATIVE COUNTRY	DATE AND PORT OF ENTRY

10. EDUCATION (All schools above elementary)				
NAME OF SCHOOL	ADDRESS	FROM (Year)	TO (Year)	DEGREES
Brown University	Providence, Rhode Island	9/1958	1962	A.B.
Scarsdale High School	Scarsdale, N.Y.	1952	1958	diploma

11. THIS SPACE FOR FBI USE (See also item 24.)	12. SOCIAL SECURITY NUMBER 132 - 32 - 3096
	13. MILITARY SERVICE (Past or present) NA
	SERIAL NO. (If none, give grade or rating at separation) 161-4612
	BRANCH OF SERVICE (Army, Navy, Air Force, etc.) 28
	FROM (Yr.) TO (Yr.)

6 ENCLOSURE 9/1/71

16. FOREIGN COUNTRIES VISITED (SINCE 1945 *exclusive of military service*)

COUNTRY	DATE LEFT USA	DATE RETURNED USA	PURPOSE
Peru, Bolivia, Argentina	Dec. 10	Jan 2, 1962	tourism, family visit
Uruguay, Brazil	1961		
France, Switzerland, England,	May-Sept 1960		tourism, work, family visit
Italy, Yugoslavia, Greece			
Denmark, Sweden, Germany, Italy,	June-Sept 1957		tourism, family
Switzerland, France, Norway			(MORE on part 23)

17. ARE YOU NOW, OR HAVE YOU EVER BEEN, A MEMBER OF THE COMMUNIST PARTY, U. S. A., OR ANY COMMUNIST OR FASCIST ORGANIZATION?

no
(ANSWER "YES" OR "NO")

18. ARE YOU NOW OR HAVE YOU EVER BEEN A MEMBER OF ANY FOREIGN OR DOMESTIC ORGANIZATION, ASSOCIATION, MOVEMENT, GROUP, OR COMBINATION OF PERSONS WHICH IS TOTALITARIAN, FASCIST, COMMUNIST, OR SUBVERSIVE, OR WHICH HAS ADOPTED, OR SHOWS, A POLICY OF ADVOCATING OR APPROVING THE COMMISSION OF ACTS OF FORCE OR VIOLENCE TO DENY OTHER PERSONS THEIR RIGHTS UNDER THE CONSTITUTION OF THE UNITED STATES, OR WHICH SEEKS TO ALTER THE FORM OF GOVERNMENT OF THE UNITED STATES BY UNCONSTITUTIONAL MEANS?

no
(ANSWER "YES" OR "NO")

19. IF YOUR ANSWER TO QUESTION 17 OR 18 ABOVE IS "YES," STATE THE NAMES OF ALL SUCH ORGANIZATIONS, ASSOCIATIONS, MOVEMENTS, GROUPS, OR COMBINATIONS OF PERSONS AND DATES OF MEMBERSHIP. IN QUESTION 23 OR ON A SEPARATE SHEET TO BE ATTACHED TO AND MADE A PART OF THIS FORM, GIVE COMPLETE DETAILS OF YOUR ACTIVITIES THEREIN AND MAKE ANY EXPLANATION YOU DESIRE REGARDING YOUR MEMBERSHIP OR ACTIVITIES.

NAME	ADDRESS	FROM	TO	OFFICE HELD
NA				

20. MEMBERSHIP IN OTHER ORGANIZATIONS (List all organizations in which you are now a member or have been a member, except those which show religious or political affiliations.)

NAME	ADDRESS	TYPE	FROM	TO	OFFICE HELD
The Brown Daily Herald	box K, Brown U.	college	1959	1962	during last year,
	Providence, R.I.	newspaper			Editor-in-Chief

21. RELATIVES (Parents, spouse, divorced spouse, children, brothers, and sisters, living or dead. Name of spouse should include maiden name and any other names by previous marriage. If person is dead, so state under "address" and enter other information as of time of death.)

RELATION	NAME IN FULL	YEAR OF BIRTH	ADDRESS	COUNTRY OF BIRTH	PRESENT CITIZENSHIP
mother	Trudi Moos (Holbrooke) Kearl (remarried)	1920	344 Sprain Rd. Scarsdale, N.Y.	Germany	USA
father	Dr. Dan Holbrooke	1914	dead	Russia	USA
brother				USA	USA

14. EMPLOYMENT (List ALL employment dates starting with your present employment. Show dates and addresses when unemployed. Give name under which employed if different from name now used.)

FROM	TO	NAME OF EMPLOYER (Firm or agency) AND NAME OF SUPERVISOR	TYPE OF WORK	ADDRESS (Where employed)	REASON FOR LEAVING
summer 1961		The New York Times Mr. R. Burritt	news clerk- copy boy	NY Times N.Y., N.Y.	summer employment
(please note: during the school year, I am unemployed, while a student at Brown)					
summer 1960		Supermarche Casino	clerk	Boul. Joseph Vallier, Grenoble, France	summer emp.
summer 1958		Scarsdale Recreation Dept.	tennis-court attendant	Scarsdale, N.Y.	summer emp.

15. HAVE YOU EVER BEEN ARRESTED, CHARGED, OR HELD BY FEDERAL, STATE, OR OTHER LAW-ENFORCEMENT AUTHORITIES, FOR ANY VIOLATION OF ANY FEDERAL LAW, STATE LAW, COUNTY OR MUNICIPAL LAW, REGULATION, OR ORDINANCE? (Do not include anything that happened before your sixteenth birthday. Do not include traffic violations for which a fine of \$25 or less was imposed. All other charges must be included even if they were dismissed.)

no

(ANSWER "YES" OR "NO")

IF YOUR ANSWER IS "YES," GIVE FULL DETAILS BELOW:

REASON CHARGED OR HELD	DATE	PLACE WHERE CHARGED OR HELD	DISPOSITION
------------------------	------	-----------------------------	-------------

05.032 2. 10.12.1961

22. REFERENCES (Name three persons, not relatives or employers, who are well acquainted with you)

1.
2.
3.

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23. SPACE FOR CONTINUING ANSWERS TO OTHER QUESTIONS (Show item numbers to which answers apply. Attach a separate sheet if there is not enough space here.) question 16

England, Switzerland, France
the Netherlands, Switzerland
Argentina

June - Sept 1956
summer 1949
summer 1946

tourism, family visit
family visit
family visit

24. REPORT OF INFORMATION DEVELOPED (This space reserved for FBI use.)

DATE:

Before signing this form check back over it to make sure you have answered all questions fully and correctly.

CERTIFICATION

I CERTIFY that the statements made by me on this form are true, complete, and correct to the best of my knowledge and belief, and are made in good faith.

False statement on this form
is punishable by law.

Feb. 14, 1962 *Richard L. L. L.*
(DATE) (SIGNATURE—Sign original and 1st carbon copy)

INFORMATION TO BE FURNISHED BY AGENCY

INSTRUCTIONS TO AGENCY: See Federal Personnel Manual Chapter 12 for details on when this form is required and how it is used. If this is a request for investigation before appointment, insert "APPL" in the space for Date of Appointment and show information about the proposed appointment in the other spaces for appointment data. The original and the first carbon copy should be signed by the applicant or appointee. Submit three carbon copies of this form, Standard Form 87 (Fingerprint Chart), and any investigative information about the person received on voucher forms or otherwise, to the United States Civil Service Commission, Investigations Division, Bureau of Departmental Operations, Washington 25, D. C. If this is a request for full field security investigation, submit these forms to the attention of the Security Investigations Section; if this is a request for preappointment national agency checks, submit these forms to the attention of the Control Unit.

RETAIN THE ORIGINAL COPY OF STANDARD FORM 86 (SIGNED BY THE APPLICANT OR APPOINTEE) FOR YOUR FILES

DATE OF APPOINTMENT Appl.	TYPE OF APPOINTMENT ☒ EXCEPTED ☐ COMPETITIVE (Include indefinite and temporary types of competitive appointments.)	CIVIL SERVICE OR OTHER LEGAL AUTHORITY FOR APPOINTMENT	TITLE OF POSITION AND GRADE OR SALARY Foreign Service Officer
DEPARTMENT OR AGENCY State	DUTY STATION Foreign Service	SEND RESULTS OF PREAPPOINTMENT CHECK TO: Department of State	
THIS IS A SENSITIVE POSITION		SIGNATURE AND TITLE OF AUTHORITY OFFICIAL	

CARTER - MONDALE

TRANSITION PLANNING GROUP

P.O. Box 2600
Washington, D.C. 20013

In connection with the consideration of my possible appointment to a position in President-elect Carter's administration, I hereby authorize (pursuant to Internal Revenue Code § 6103 (c) as amended) the Internal Revenue Service to provide President-elect Carter, [redacted] of his transition team, and the FBI acting on behalf of President-elect Carter with tax information, limited to the following:

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1. Whether I have filed returns with respect to Federal income taxes for the immediately preceding 3 years.
2. Whether I have failed to pay any tax within 10 days after notice and demand, or have been assessed any penalty under the Internal Revenue Code of 1954, as amended, for negligence, in the current year or immediately preceding 3 years.
3. Whether I have been or am under investigation for possible criminal offenses under the Internal Revenue laws and the results of any such investigation.
4. Whether I have been assessed any civil penalty under the Internal Revenue Code of 1954, as amended, for fraud.

In order to assist you in locating this Federal tax information, I am voluntarily disclosing my Social Security Number which is 132-32-7096.

Original to
WFO 1/21

[Signature]
(Taxpayer's signature)

1524 Corcoran St, NW
(Taxpayer's address)

Washington D.C. 20009

(10)

CARTER - MONDALE
TRANSITION PLANNING GROUP

P.O. Box 2600
Washington, D.C. 20013

AUTHORITY TO RELEASE INFORMATION

TO WHOM IT MAY CONCERN:

I hereby authorize any Special Agent or other authorized representative of the Federal Bureau of Investigation bearing this release, or copy thereof, within one year of its date, to obtain any information in your files pertaining to my educational records including, but not limited to, academic, achievement, attendance, athletic, personal history, and disciplinary records; employment records; and credit records. I hereby direct you to release such information upon request of the bearer. This release is executed with full knowledge and understanding that the information is for the official use of the Federal Bureau of Investigation. Consent is granted for the FBI to furnish such information, as is described above, to third parties in the course of fulfilling its official responsibilities. I hereby release you, as the custodian of such records, and any school, college, university, or other educational institution, credit bureau or consumer reporting agency, including its officers, employees, or related personnel, both individually and collectively, from any and all liability for damages of whatever kind, which may at any time result to me, my heirs, family or associates because of compliance with this authorization and request to release information, or any attempt to comply with it. Should there be any question as to the validity of this release, you may contact me as indicated below:

Full Name: _____

R. J. Hoff
Signature

Full Name: _____

Richard Holbrook
Type or print name

Parent or Guardian:
(if required): _____

Date: _____

Jan 8, 1977

Current Address: _____

1524 Corcoran St, NW
Washington D.C. 20009

Telephone Number: _____

(202) 797-8405

CARTER - MONDALE
TRANSITION PLANNING GROUP

697 6420

P.O. Box 2600
Washington, D.C. 20013

Dear **MR. HOLBROOKE:**

In connection with your employment with the President-elect, it will be necessary to request that you provide this office with personal information about your background. This information will be provided to the Federal Bureau of Investigation to assist in an investigation of your background and it may be provided to other Federal agencies in connection with your employment.

You should be aware that the authority to collect this background information is based on the President's executive powers in Article II of the Constitution. The information will be used to obtain necessary clearances to assist you in your work. Furnishing this information is voluntary, but necessary to our effectiveness. Willfully making a false statement or concealing a material fact may constitute a violation of Section 1001, Title 18 of the U. S. Code.

If you provide any information which indicates a violation of law, whether civil, criminal or regulatory in nature, it will be referred to the appropriate Federal, state, local or foreign agency.

If you provide any information about how you exercise rights guaranteed by the First Amendment, it will be assumed that you are expressly authorizing the maintenance of this information in the records of any Federal agency.

This personal information and the results of the FBI's investigation will be used principally in connection with the consideration of your employment; however, there are other uses for it when necessary to fulfill obligations imposed by law, FBI regulation or presidential directive or executive order. The background information which includes a review of FBI files will be disclosed to another Federal agency, to assist in its process of clearing you.

The FBI investigation will include the collection and use of relevant information in the files of various Federal agencies and it is necessary that you authorize the disclosure of such information to the FBI. For example, the Internal Revenue Service will be asked to provide the FBI with the following limited information:

1. Whether you have filed income tax returns for the past three years; and
2. Whether you have a record of unpaid taxes, liens, criminal tax investigations or civil penalties for fraud or negligence.

In order to locate this Federal tax information, it will be necessary for you to voluntarily disclose your Social Security number.

If you consent to such an FBI investigation and the disclosure of relevant information by Federal agencies, and if you understand and accept the terms of this letter, please sign your name below and return the original of this letter to

A duplicate of this letter is enclosed for your files.

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Thank you.

Sincerely,

Approved: _____

(Signature)

Jan 8, 1977
(Date)

CLEAR

TELETYPE

PRIORITY

JANUARY 21, 1977

FM DIRECTOR ([6]-4612)

TO WASHINGTON FIELD ([6]-3820) PRIORITY

ALEXANDRIA PRIORITY

NEWARK ([6]-933) PRIORITY

ATLANTA PRIORITY

NEW YORK ([6]-2129) PRIORITY

ST. LOUIS PRIORITY

BT

CLEAR

ENCLOSURE FOR WASHINGTON FIELD FORWARDED BSM.

RICHARD CHARLES HOLBROOKE, SPECIAL INQUIRY, BUDED JANUARY-28, 1977, WITHOUT FAIL.

BUREAU HAS BEEN REQUESTED TO CONDUCT EXPEDITE INVESTIGATION TO BRING UP TO DATE AUGUST, 1966, SPECIAL INQUIRY OF HOLBROOKE WHO IS BEING CONSIDERED FOR PRESIDENTIAL APPOINTMENT.

BORN APRIL 24, 1941, NEW YORK CITY, DIVORCED, SINCE 1974

NOTE: Request received today from Robert J. Lipshutz, Counsel to the President.

Assoc. Dir. _____
Dep. AD Adm. _____
Dep. AD Inv. _____
Asst. Dir.: _____
Adm. Serv. _____
Ext. Affairs _____
Fin. & Pers. _____
Gen. Inv. _____
Ident. _____
Inspection _____
Intell. _____
Laboratory _____
Legal Coun. _____
Plan. & Eval. _____
Rec. Mgnt. _____
Spec. Inv. _____
Training _____
Telephone Rm. _____
Director Sec'y _____

RER:mal

(5)

FEDERAL BUREAU OF INVESTIGATION
COMMUNICATIONS SECTION

JAN 21 1977
558 SR
TELETYPE

FEB 11 1977

RETURN TO

ROOM 3117

TELETYPE UNIT

PAGE TWO CLEAR

HAS RESIDED [REDACTED] AND SINCE 1972 HAS BEEN EMPLOYED BY FOREIGN POLICY, AS MANAGING EDITOR, BOTH WASHINGTON, D. C.

AT TIME OF 1966 INVESTIGATION HE WAS MARRIED TO FORMER [REDACTED] HAD ONE CHILD, NAME UNKNOWN, RESIDED WOODNER HOTEL, WASHINGTON, D. C., AND WAS EMPLOYED BY STATE DEPARTMENT ON DETAIL TO THE WHITE HOUSE OFFICE.

CONTINUED EMPLOYMENT WITH STATE DEPARTMENT UNTIL 1974. FROM JULY, 1976, TO NOVEMBER, 1976, WAS ASSOCIATED WITH CARTER-MONDALE CAMPAIGN IN ATLANTA, GEORGIA.

b6
b7C

LISTS MOTHER, TRUDI HOLBROOKE KEARL, 344 SPRAIN ROAD, SCARLESDALE, NEW YORK.

RESIDENCES SHOWN AS 1966 TO 1974, 2328 NEBRASKA AVENUE, NORTHWEST, WASHINGTON, D. C., AND 1966 TO 1974, PERIODICALLY ABROAD.

INDICATES ATTENDED PRINCETON UNIVERSITY, PRINCETON, NEW JERSEY, 1969 TO 1970, AS VISITING FELLOW.

INDICATES DIVORCED 1974, WASHINGTON, D. C.

NO REFERENCES LISTED NOR CURRENT WHEREABOUTS OF FORMER SPOUSE, SON, OR BROTHER [REDACTED] WASHINGTON FIELD

PAGE THREE CLEAR

ASCERTAIN AND SET OUT APPROPRIATE LEADS.

ST. LOUIS CHECK NPRC-C AND ALEXANDRIA CHECK CIA.

BACKGROUND DATA AND RELEASE FOR REVIEW OF APPROPRIATE
RECORDS FOLLOW BY AIRTEL:

DUE TO URGENT NATURE OF REQUEST, IT IS IMPERATIVE BUDED
BE MET WITHOUT FAIL. NO DELAY WILL BE TOLERATED.

SPIN.

BT

airtel

1-21-77

To: SACs, Washington Field (161-3820) - Enc. (2).
Alexandria - Enc. (2)
Newark (161-933) - Enc. (2)
Atlanta - Enc. (2)
New York (161-2129) - Enc. (2)
St. Louis - Enc. (2)

From: Director, FBI (161-46)2)

RICHARD CHARLES HOLBROOKE
SPECIAL INQUIRY
BUDED: 1-28-77, WITHOUT FAIL

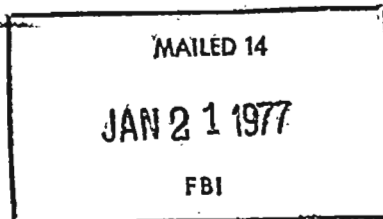
ReButel today.

Enclosed are background data and release for review
of appropriate records received with request for this investi-
gation.

b6
b7c

RER:mal
(14)

Assoc. Dir. _____
Dep. AD Adm. _____
Dep. AD Inv. _____
Asst. Dir.:
Adm. Serv. _____
Ext. Affairs _____
Fin. & Pers. _____
Gen. Inv. _____
Ident. _____
Inspection _____
Intell. _____
Laboratory _____
Legal Coun. _____
Plan. & Eval. _____
Rec. Mgnt. _____
Spec. Inv. _____
Training _____
Telephone Rm. _____
Director Sec'y _____



NOT RECORDED

22 MAR 7 1977

RETURN TO

ROOM 3117

53 MAR 21 1977

MAIL ROOM ☒

TELETYPE UNIT ☐

Assoc. Dir. _____
 Dep. AD Adm. _____
 Dep. AD Inv. _____
 Asst. Dir.: _____
 Adm. Serv. _____
 Ext. Affairs _____
 Fin. & Pers. _____
 Gen. Inv. _____
 Ident. _____
 Intell. _____
 Legal Coun. _____
 Plan. & Insp. _____
 Rec. Mgt. _____
 S. & T. Serv. _____
 Spec. Inv. _____
 Training _____
 Telephone Rm. _____
 Director's Sec'y _____

FEDERAL BUREAU OF INVESTIGATION
 COMMUNICATIONS SECTION

JAN 26 1977

TELETYPE

AT 0872 026235Z

OO HI WF

DE AT

O 26235Z JAN 77

FM ATLANTA (161-1156) (P)

TO DIRECTOR (161-4612) IMMEDIATE

WFO (161-3820) IMMEDIATE

S.T.
 BT
 CLEAR

RM 13822

RICHARD CHARLES HOLBROOKE SPECIAL INQUIRY; BUDED JANUARY 28, 1977, WITHOUT FAIL.

b6
 b7C

RE BUREAU TELETYPE TO WFO DATED JANUARY 21, 1977.

HOLBROOKE REFLECTED THAT HE WAS ASSOCIATED WITH THE CARTER-MONDALE CAMPAIGN IN ATLANTA, GA FROM JULY 1976 UNTIL NOVEMBER 1976. HIS EMPLOYMENT WITH THE 1976 DEMOCRATIC PRESIDENTIAL CAMPAIGN COMMITTEE, INC., IN ATLANTA HAS BEEN VERIFIED. HOLBROOKE WORKED IN THE ISSUES SECTION OF THE 1976 DEMOCRATIC PRESIDENTIAL CAMPAIGN COMMITTEE. HIS

WHO IS NOW IN

WASHINGTON, D. C. ON THE WHITE HOUSE STAFF.

WFO. WILL INTERVIEW

REGARDING

NOT RECORDED
 22 MAR 7 1977

53 MAR 21 1977

9/m 52

PAGE TWO AT (161-1156) E F T O

HOLBROOKE'S PERFORMANCE WITH THE 1976 DEMOCRATIC PRESIDENTIAL
CAMPAIGN COMMITTEE, INC.

INVESTIGATION CONTINUING.

BT

SL0006 0272235

RR HQ

DE SL

R 272124Z JAN 77

FM ST. LOUIS (161-NPRC-C) (RUC)

TO DIRECTOR (161-4612) ROUTINE

BT
CLEAR

RICHARD CHARLES HOLBROOKE; SPI.

FEDERAL BUREAU OF INVESTIGATION
COMMUNICATIONS SECTION

JAN 27 1977

TELETYPE

Assoc. Dir.	_____
Dep. AD Adm.	_____
Dep. AD Inv.	_____
Asst. Dir.:	
Adm. Serv.	_____
Ext. Affairs	_____
Fin. & Pers.	_____
Gen. Inv.	_____
Ident.	_____
Intell.	_____
Legal Coun.	_____
Plan. & Insp.	_____
Rec. Mgt.	_____
S. & T. Serv.	_____
Spec. Inv.	_____
Training	_____
Telephone Rm.	_____
Director's Sec'y	_____

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b7C

REV. 3821

RECORDS, NATIONAL PERSONNEL RECORDS CENTER, CIVILIAN BRANCH,
ST. LOUIS, MISSOURI, DISCLOSED RICHARD CHARLES HOLBROOKE, SSAN
132-32-3096, EMPLOYED BY DEPARTMENT OF STATE, WASHINGTON, D.C.,
JULY 11, 1962, AND SERVED IN VARIOUS ASSIGNMENTS UNTIL SPECIAL
INQUIRY INVESTIGATION CONDUCTED IN 1966. EFFECTIVE JULY 31, 1966,
TRANSFERRED FROM SAIGON, VIETNAM, TO WASHINGTON, D.C., AS FOREIGN
AFFAIRS OFFICER AND PLACED ON DETAIL TO WHITE HOUSE. EFFECTIVE
SEPTEMBER 24, 1967, DETAIL TERMINATED AND REASSIGNED TO OFFICE OF
UNDER SECRETARY OF STATE, WASHINGTON, D.C. EFFECTIVE APRIL 6, 1969,
TRANSFERRED TO OFFICE OF SECRETARY, PEACE MISSION - PARIS, AS INTER-
NATIONAL RELATIONS OFFICER. EFFECTIVE APRIL 5, 1970, TRANSFERRED TO
PRINCETON UNIVERSITY, PRINCETON, NEW JERSEY, AS FOREIGN SERVICE

161-4612-31
NOT RECORDED

22 MAR 7 1977

1 cc destroyed
py
53 MAR 21 1977. 1393

9/meg

PAGE TWO SL 161-NPRC-C CLEAR

OFFICER. EFFECTIVE JUNE 28, 1970, PLACED ON REIMBURSABLE DETAIL TO PEACE CORPS, WASHINGTON, D.C. EFFECTIVE SEPTEMBER 10, 1970, TRANSFERRED TO NORTH AFRICA, NEAR EAST, AND SOUTH ASIA REGIONAL OFFICE, RABAT, MOROCCO, AS PEACE CORPS DIRECTOR. EFFECTIVE APRIL 1, 1972, TRANSFERRED TO OFFICE OF DIRECTOR GENERAL OF FOREIGN SERVICE, STATE DEPARTMENT, WASHINGTON, D.C, AS FOREIGN SERVICE OFFICER. EFFECTIVE MAY 14, 1972, PLACED ON LEAVE WITHOUT PAY TO ACCEPT POSITION WITH 'FOREIGN POLICY', NEW YORK. RESIGNED MAY 17, 1974, TO REMAIN IN POSITION AT "FOREIGN POLICY".

BIRTH DATA SHOWN AS APRIL 24, 1941, AT NEW YORK, NEW YORK.
NO UNFAVORABLE INFO NOTED.

ADMINISTRATIVE: RE BUREAU TELETYPE AND AIRTEL TO WASHINGTON FIELD JANUARY 21, 1977. BUDED: JANUARY 28, 1977, WITHOUT FAIL.

NO REPORT BEING SUBMITTED BY ST. LOUIS, UACB.

BT

FEDERAL BUREAU OF INVESTIGATION
COMMUNICATIONS SECTION

JAN 27 1977

TELETYPE

NY0541 0272047

RR HQ

DE NY

R 272006Z JAN 77

FM NEW ROCHELLE (NR 161-2129) RUC

TO DIRECTOR (161-4612) ROUTINE

CLEAR

RICHARD CHARLES HOLBROOKE, SPECIAL INQUIRY, BUDED JANUARY
28, 1977, WITHOUT FAIL

REBUREAUTELETYPE, JANUARY 21, 1977.

ON JANUARY 26, 1977, [REDACTED]

SCARSDALE, NEW YORK (NY), ADVISED STANLEY AND TRUDI KEARL RESIDE
344 SPRAIN ROAD AND ENJOY EXCELLENT REPUTATION.

ON JANUARY 26, 1977, DETECTIVE [REDACTED]

SCARSDALE, NEW YORK POLICE DEPARTMENT, ADVISED THEIR FILES SHOW

Assoc. Dir. _____
Dep. AD Adm. _____
Dep. AD Inv. _____
Asst. Dir.: _____
Adm. Serv. _____
Ext. Affairs _____
Fin. & Pers. _____
Gen. Inv. _____
Ident. _____
Intell. _____
Legal Coun. _____
Plan. & Insp. _____
Rec. Mgt. _____
S. & T. Serv. _____
Spec. Inv. _____
Training _____
Telephone Rm. _____
Director's Sec'y _____

[REDACTED]

JAN 28 1977

b6
b7C

161-4612-32

NOT RECORDED.

22 MAR 7 1977

53 MAR 21 1977 6393

9/m e2

PAGE TWO NR 161-2129 C L E A R
NO RECORD STANLEY OR TRUDI KEARL.

BT

#

0272007 NY 1

NK0015 0272245

RR HQ

DE NK

R 272245Z JAN 77

FM NEWARK (161-933) (RUC)

TO DIRECTOR (161-4612) (ROUTINE)

S.T.
BT
CLEAR

FEDERAL BUREAU OF INVESTIGATION
COMMUNICATIONS SECTION

JAN 27 1977

TELETYPE

Dep. Asst. Dir. _____
Asst. Dir.: _____
Adm. Serv. _____
Ext. Affairs _____
Fin. & Pers. _____
Gen. Inv. _____
Ident. _____
Intell. _____
Legal Coun. _____
Plan. & Insp. _____
Rec. Mgt. _____
S. & T. Serv. _____
Spec. Inv. _____
Training _____
Telephone Rm. _____
Director's Sec'y _____

b6
b7c

RICHARD CHARLES HOLBROOKE; SPIN; BUDED 1/28/77 WITHOUT FAIL

RE: BUREAU TELETYPE, 1/21/77.

ON JANUARY 24, 1977, [REDACTED] PRINCETON

UNIVERSITY (PU), PRINCETON, NJ, ADVISED THAT THE APPOINTEE

ATTENDED PU FROM SEPTEMBER 13, 1969 UNTIL JUNE 10, 1970. [REDACTED]

[REDACTED] ADVISED THAT THE APPOINTEE WAS NOT IN A DEGREE PROGRAM
AND THAT IT IS THE POLICY OF THE REGISTRAR'S OFFICE TO FURNISH
NO FURTHER INFORMATION.

ON JANUARY 24, 1977, [REDACTED] WOODROW

WILSON SCHOOL, GRADUATE PROGRAM, PU, ADVISED HER RECORDS REFLECT

THAT THE APPOINTEE LIVED AT IN MAGIE APARTMENTS, DURING HIS

YEAR AT PRINCETON, 1969-1970, AND THAT HE WAS ENROLLED IN A MID

CAREER PROGRAM WHICH IS A NON DEGREE PROGRAM FOR GOVERNMENT

OFFICIALS WHO TAKE A LEAVE OF ABSENCE FROM THEIR JOBS. DE

MARCHI ADVISED THAT THE APPOINTEE CAME TO PRINCETON IN 1969,

AFTER SERVING ON THE VIET NAM PEACE MISSION AT THE AMERICAN

NOT RECORDED

22 MAR 7 1977

1cc destroyed
pjm

53 MAR 21 1977

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PAGE TWO NK 161-933 CLEAR

EMBASSY IN FRANCE.

ON JANUARY 26, 1977, [REDACTED] WOODROW WILSON SCHOOL, PU, ADVISED THAT HE DID NOT HAVE THE APPOINTEE IN ANY OF HIS CLASSES, HOWEVER, KNEW HIM WHILE HE WAS AT PU, AND CONTINUES TO MAINTAIN CONTACT WITH APPOINTEE INASMUCH AS BOTH HAVE MUTUAL FRIENDS. [REDACTED] ADVISED THAT THE APPOINTEE WAS AN EXCELLENT AND ABLE STUDENT, WHO POSSESSED THE HIGHEST CHARACTER AND THERE WERE NO FLAWS IN HIS PERSONALITY OR REPUTATION, AND HE CONSIDERS HIM TO BE AN OUTSTANDING CANDIDATE FOR A POSITION OF TRUST WITH THE US GOVERNMENT.

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ON JANUARY 27, 1977, [REDACTED] WHO RESIDES AT [REDACTED] NJ, AND WHO IS EMPLOYED ON THE COUNSEL OF FOREIGN RELATIONS, NYC, AND ALSO A [REDACTED] AT PU, WOODROW WILSON SCHOOL, ADVISED THAT HE INITIALLY MET THE APPOINTEE IN 1967 WHEN HE [REDACTED] WAS A CIVILIAN EMPLOYEE IN THE DEPARTMENT OF DEFENSE, WDC, AND HE AND THE APPOINTEE WORKED ON SOME PROJECTS TOGETHER. [REDACTED] ADVISED WHEN THE APPOINTEE ATTENDED PU, FOR HIS MID CAREER PROGRAM OF STUDY, HE TAUGHT HIM IN SEVERAL CLASSES, AND CONSIDERED HIM TO BE AN

PAGE THREE NK 161-933 CLEAR

ABLE AND DEDICATED STUDENT WITH AN EXCELLENT GRASP OF WORLD PROBLEMS. [REDACTED] ADVISED THAT HE ALSO IS IN FREQUENT CONTACT WITH THE APPOINTEE INASMUCH AS THE APPOINTEE IS MANAGING EDITOR OF A MAGAZINE NAMED "FOREIGN POLICY," WHICH IS PUBLISHED IN NYC, AND HE [REDACTED] IS ON THE EDITORIAL BOARD OF THAT SAME MAGAZINE. [REDACTED] ADVISED THAT HIS RELATIONSHIP IS MORE PROFESSIONAL THAN OTHERWISE WITH THE APPOINTEE DUE TO THEIR FREQUENT CONTACTS IN PUBLISHING THE ABOVE DESCRIBED MAGAZINE, HOWEVER, HE IS ALSO A CLOSE PERSONAL FRIEND OF THE APPOINTEE, THE APPOINTEE AND HE HAVING EXCHANGED VISITS IN EACH OTHERS HOMES. [REDACTED] ADVISED THE APPOINTEE POSSESSES OUTSTANDING CHARACTER AND ASSOCIATES, HIS LOYALTY TO THE US IS WITHOUT QUESTION AND HE FULLY RECOMMENDED HIM FOR A POSITION WITH THE US GOVERNMENT.

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ON JANUARY 25, 1977, DET. [REDACTED] PRINCETON, NJPD, ADVISED HE HAD NO RECORD FOR THE APPOINTEE.

[REDACTED] THE CREDIT BUREAU INC., TINTON FALLS, NJ, WHICH COVERS THE STATE OF NEW JERSEY, ADVISED SC [REDACTED]

[REDACTED] THAT THEY HAVE A FILE ON RICHARD C. HOLBROOKE,

PAGE FOUR NK 161-933 CLEAR

WDC, FORMERLY OF 2328 NEBRASKA AVE.

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WDC. SHE SAID THE RECORDS CONTAIN NO CREDIT INFORMATION AND
NO UNFAVORABLE INFORMATION.

BT

#

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MA 112767
AT0897 0272226Z

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O 272226Z JAN 77

FM ATLANTA (161-1156) (RUC)

TO DIRECTOR IMMEDIATE

S.T.
BT
EFTO

FEDERAL BUREAU OF INVESTIGATION
COMMUNICATIONS SECTION

JAN 27 1977
TELETYPE

Assoc. Dir. _____
Dep. AD-Adm. _____
Dep. AD Inv. _____
Asst. Dir.: _____
Adm. Serv. _____
Ext. Affairs _____
Fin. & Pers. _____
Gen. Inv. _____
Ident. _____
Intell. _____
Legal Coun. _____
Plan. & Insp. _____
Rec. Mgt. _____
S. & T. Serv. _____
Spec. Inv. _____
Training _____
Telephone Rm. _____
Director's Sec'y _____

b6
b7C

RICHARD CHARLES HOLBROOKE; SPECIAL INQUIRY; BUDED JANUARY 28, 1977, WITHOUT FAIL.

RE BUREAU TELETYPE TO WASHINGTON FIELD OFFICE DATED JANUARY 21, 1977; AND ATLANTA TELETYPE TO THE BUREAU DATED JANUARY 26, 1977.

THE FOLLOWING INVESTIGATION WAS CONDUCTED JANUARY 24-26, 1977.

EMPLOYMENT:

[REDACTED] 1976 DEMOCRATIC PRESIDENTIAL CAMPAIGN COMMITTEE, INCORPORATED, 100 COLONY SQUARE ATLANTA, GEORGIA, ADVISED THAT RICHARD CHARLES HOLBROOKE WAS EMPLOYED BY THE 1976 DEMOCRATIC PRESIDENTIAL CAMPAIGN COMMITTEE.

161-4612-34
NOT RECORDED

22 MAR 7 1977

53 MAR 21 1977
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393

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PAGE TWO AT (161-1156) E F T O

INCORPORATED, FROM JULY 26, 1976, UNTIL OCTOBER 31, 1976. HOLBROOKE'S ADDRESS WAS LISTED AS 1524 CORCORAN STREET, NORTHWEST, WASHINGTON, D.C. [REDACTED] FURTHER ADVISED THAT RECORDS ARE NOT AVAILABLE PRIOR TO JULY 16, 1976, THE DATE WHICH THE 1976 DEMOCRATIC PRESIDENTIAL CAMPAIGN COMMITTEE WAS INCORPORATED. THESE RECORDS ARE STORED IN THE STATE OF GEORGIA ARCHIVES. [REDACTED] ADVISED THAT SHE DID NOT KNOW HOLBROOKE. SHE ADVISED THAT THE ONLY PERSON AVAILABLE WHO MIGHT HAVE KNOWN HOLBROOKE IS [REDACTED]

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b7C

[REDACTED] 1976 DEMOCRATIC PRESIDENTIAL CAMPAIGN COMMITTEE, INCORPORATED, 100 COLONY SQUARE, ATLANTA, ADVISED THAT HE WAS UNACQUAINTED WITH RICHARD CHARLES HOLBROOKE.

ASSOCIATES:

[REDACTED] FOR THE 1976 DEMOCRATIC CAMPAIGN COMMITTEE, INCORPORATED, ATLANTA, ADVISED THAT SHE IS FAMILIAR WITH RICHARD CHARLES HOLBROOKE. SHE ADVISED THAT HE SERVED AS A RESEARCHER AND ADVISOR IN THE ISSUES SECTION OF THE 1976 DEMOCRATIC CAMPAIGN COMMITTEE, INCORPORATED. SHE ADVISED THAT HIS IMMEDIATE SUPERVISOR WAS

PAGE THREE AT (161-1156) E F T O

[REDACTED] SHE ADVISED THAT IN HER OPINION HOLBROOKE'S PERFORMANCE IN THAT SECTION WAS EXCELLENT. SHE ADVISED THAT SHE HAD NO REASON TO QUESTION THE HONESTY, CHARACTER, LOYALTY, OR DEPENDABILITY OF HOLBROOKE AND HIGHLY RECOMMENDED HIM FOR A POSITION OF CONFIDENCE AND TRUST WITH THE FEDERAL GOVERNMENT. SHE ADDED THAT IN HOLBROOKE'S POSITION HE DID A CONSIDERABLE AMOUNT OF TRAVELING AND, CONSEQUENTLY, MIGHT NOT HAVE HAD A RESIDENCE IN THE ATLANTA AREA, ALTHOUGH HE WORKED OUT OF THE ATLANTA AREA. [REDACTED] STATED THAT SHE COULD THINK OF NO ONE IN THE ATLANTA AREA, WITH THE EXCEPTION OF [REDACTED] WHO MIGHT BE FAMILIAR WITH HOLBROOKE.

b6
b7C

[REDACTED] 1976 DEMOCRATIC PRESIDENTIAL CAMPAIGN COMMITTEE, INCORPORATED, ATLANTA, ADVISED THAT HE PERSONALLY WAS UNFAMILIAR WITH RICHARD CHARLES HOLBROOKE. [REDACTED] INDICATED THAT HE COULD THINK OF NO ONE IN THE ATLANTA AREA WHO WOULD BE FAMILIAR WITH RICHARD CHARLES HOLBROOKE.

CREDIT:

[REDACTED] CREDIT BUREAU OF GREATER ATLANTA, ATLANTA, GEORGIA, ADVISED THAT THEIR CREDIT RECORDS REFLECT THAT

PAGE FOUR AT (161-1156) E F T O

RICHARD C. HOLBROOKE, [REDACTED] WASHINGTON, D.C.,
HAS BEEN IN FILE SINCE JULY, 1966. THE RECORD REFLECTS THAT
HE IS EMPLOYED AS THE MANAGER AND EDITOR OF THE FOREIGN
POLICY MAGAZINE, WASHINGTON, D.C. THERE IS NO DEROGATORY
INFORMATION CONTAINED WITHIN HOLBROOKE'S CREDIT RECORD.

IDENTIFICATION:

[REDACTED] IDENTIFICATION DIVISION, ATLANTA, GEORGIA,
POLICE DEPARTMENT, ADVISED THAT HE COULD LOCATE NO RECORD
IDENTIFIABLE WITH RICHARD CHARLES HOLBROOKE.

[REDACTED] FULTON COUNTY, GEORGIA, POLICE DEPARTMENT,
ATLANTA, ADVISED THAT HE COULD LOCATE NO RECORD IDENTIFIABLE
WITH RICHARD CHARLES HOLBROOKE.

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ADMINISTRATIVE

LOGICAL EFFORTS WERE MADE IN AN ATTEMPT TO DETERMINE A
LOCAL ADDRESS FOR RICHARD CHARLES HOLBROOKE, WITH NEGATIVE
RESULTS, INCLUDING THE REMAINING CARTER-MONDALE STAFF IN
ATLANTA, GEORGIA. [REDACTED] FAIRMONT HOTEL; [REDACTED]
COLONY APARTMENTS; [REDACTED] PEACHTREE PARK APARTMENTS,
ATLANTA, ADVISED THAT THE "CARTER" STAFF HAD SEVERAL ROOMS
AND APARTMENTS IN THEIR RESPECTIVE FACILITIES WHICH WERE

PAGE FIVE AT (161-1156) E F T O

USED AT THE STAFF'S DISCRETION AND THAT RECORDS WERE NOT MAINTAINED OF ALL SPECIFIC INDIVIDUALS WHO UTILIZED THOSE ROOMS. IT ALSO IS POINTED OUT THAT HOLBROOKE, AS A MEMBER OF THE ISSUES SECTION, DID CONSIDERABLE TRAVELING AND MIGHT NOT HAVE ESTABLISHED A RESIDENCE IN THE ATLANTA AREA.

ALL PERSONS CONTACTED WERE ADVISED OF THE PROVISIONS OF THE PRIVACY ACT AND NONE REQUESTED CONFIDENTIALITY.

BT

FBI

TRANSMIT VIA:

☐ Teletype
☐ Facsimile
☒ Airtel

PRECEDENCE:

☐ Immediate
☐ Priority
☐ Routine

CLASSIFICATION:

☐ TOP SECRET
☐ SECRET
☐ CONFIDENTIAL
☐ E F T O
☐ CLEAR

Date 1/28/77

Assoc. Dir. _____
 Dep. AD Adm. _____
 Dep. AD Inv. _____
 Asst. Dir.: _____
 Adm. Serv. _____
 Ext. Affairs _____
 Fin. & Pers. _____
 Gen. Inv. _____
 Ident. _____
 Intell. _____
 Legal Coun. _____
 Plan. & Insp. _____
 Rec. Mgmt. _____
 S. & T. Serv. _____
 Spec. Inv. 7/1/50
 Training _____
 Telephone Rm. _____
 Director's Sec'y _____

TO: DIRECTOR, FBI (161-4612)
 FROM: SAC, ALEXANDRIA (161-4220) -REC-

RICHARD CHARLES HOLBROOKE
 SPECIAL INQUIRY
 BUDED: 1/28/77 WITHOUT FAIL

Re Bureau teletype and airtel to WFO,
 1/21/77.

b6
 b7C

SC [redacted] caused a search to
 be made of the files of the Central Intelligence
 Agency (CIA), Langley, Virginia, and was advised on
 1/26/77 [redacted]

b3 Per CIA

SC [redacted] was advised on 1/27/77 that the files of
 CIA [redacted]

b6
 b7C

b3 per CIA

161-4612-35

NOT RECORDED

22 MAR 7 1977

① - Bureau
 1 - Alexandria
 SW:sw
 (2)

Approved: [Signature]
 53 MAR 21 1977

Transmitted _____
 (Number) (Time)

Per 9/m 50

FBI

TRANSMIT VIA:

☐ Teletype
☐ Facsimile
☒ Airtel

PRECEDENCE:

☐ Immediate
☐ Priority
☐ Routine

CLASSIFICATION:

☐ TOP SECRET
☐ SECRET
☐ CONFIDENTIAL
☐ E F T O
☐ CLEAR

Date 1/28/77

Assoc. Dir. _____
 Dep. AD Adm. _____
 Dep. AD Inv. _____
 Asst. Dir.: _____
 Adm. Serv. _____
 Ext. Affairs _____
 Fin. & Pers. _____
 Gen. Inv. _____
 Ident. _____
 Intell. _____
 Legal Coun. _____
 Plan. & Insp. _____
 Rec. Mgt. _____
 S & T. Serv. _____
 Spec. Inv. 7/1/77
 Training _____
 Telephone Rm. _____
 Director's Sec'y _____

TO: DIRECTOR, FBI (161-4612)
 FROM: SAC, ALEXANDRIA (161-4220) (RUC)
 RICHARD CHARLES HOLBROOKE
 SPIN
 BUDED: 1/28/77 WOF

Re WFO teletype to the Bureau, 1/28/77.

The following retired United States Department of State employees were contacted and advised that they were not acquainted with the appointee:

 Virginia.

 Virginia.

b6
 b7C

① - Bureau
 1 - Alexandria
 SEL:klh
 (2)

161-4612-36

NOT RECORDED

22 MAR 7 1977

Approved: 7393 K/MSD

58 MAR 21 1977

Transmitted _____

(Number)

(Time)

Per 9/21/20

BS0010 0282230

RR HQ

DE BS

R 282000Z JAN 77

FM BOSTON (161-1608)

TO DIRECTOR ROUTINE

FEDERAL BUREAU OF INVESTIGATION
COMMUNICATIONS SECTION

JAN 28 1977

TELETYPE

Assoc. Dir. _____
Dep. AD Adm. _____
Dep. AD Inv. _____
Asst. Dir.: _____
Adm. Serv. _____
Ext. Affairs _____
Fin. & Pers. _____
Gen. Inv. _____
Ident. _____
Intell. _____
Legal Coun. _____
Plan. & Insp. _____
Rec. Mgt. _____
S. & T. Serv. _____
Spec. Inv. _____
Training _____
Telephone Rm. _____
Director's Sec'y _____

RICHARD CHARLES HOLBROOKE, SPI, BUDED JANUARY 28, 1977

RE WFO TELETYPE DATED JANUARY 28, 1977.

[REDACTED] HARVARD UNIVERSITY,
IN TRAVEL STATUS AND NOT AVAILABLE UNTIL JANUARY 31, 1977.
BOSTON WILL FOLLOW CLOSELY.

BT

cc destroyed

[Handwritten signature]

161-4612-37

NOT RECORDED
22 MAR 7 1977

53 MAR 21 1977 *6543*

9/m 22

FBI

Date: 1/28/77

Transmit the following in _____
(Type in plaintext or code)Via AIRTEL _____
(Precedence)b6
b7c

TO: DIRECTOR, FBI (161-4612)

FROM: SAC, WFO (161-3820) (P) S.T.
SHP
RICHARD CHARLES HOLBROOKE
SPECIAL INQUIRY
BUDED: 1/28/77 WF

Re Butel and Airtel dated, 1/21/77.

ADMINISTRATIVE

All persons interviewed were advised of the provisions of the Privacy Act of 1974, and unless otherwise noted, none requested confidentiality.

It should be noted that information contained on appointee's PSQ was in many cases lacking in accuracy or missing altogether. It should also be noted that names of references, associates, as well as information concerning the appointee's remarriage was not obtained until the date of Bureau deadline because appointee was not employed at DuPont Circle as indicated on PSQ but had already begun working at the State Department two to three weeks ago.

LEADS

161-4612-38
Neighborhoods, IRS, SS, References and Associates outstanding.

①-Bureau
1-WFO
RLW:bab
(2)

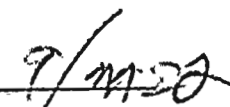
NOT RECORDED
22 MAR 7 1977

Approved: 

Special Agent in Charge

Sent _____

M

Per 53 MAR 21 1977 

WFO 161-3820

MJB:smt

1

Carnegie Endowment for International Peace (CEIP)
11 Dupont Circle, N.W.,
Washington, D.C.

The following investigation was conducted by SA
[redacted] on 1/27/77:

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[redacted] advised from records that the appointee was employed as Editor of the Foreign Policy Magazine from 3/1/72 to 1/21/77. She stated that the main personnel records are at the CEIP offices located at 345 East 46th Street, New York, New York. She stated that her records reflect that the appointee took a leave of absence from July to November, 1976 while working for the CARTER Campaign.

[redacted] of Publications, advised that she has known the appointee on a professional and social basis since 1970. She stated that she and the appointee initially met in Morocco where the appointee was Peace Corp Director and she was [redacted] from 1970 to 1972. In May, 1975, she stated that she went to work for CEIP and that the appointee was already employed here and that he was her direct superior. She stated that she and the appointee are close personal friends and that she has been to the appointee's home located at [redacted], where the appointee has lived since approximately 1974. She stated that the appointee has recently remarried and lives there with his wife. She described the appointee as an intelligent, capable person who is highly respected in his field. She commented favorably on the appointee's character, associates, reputation and loyalty and recommended him for a position of confidence and trust with the United States Government.

[redacted] advised that he has known the appointee on a professional basis since 1969 and became acquainted with the appointee while they were both in the Foreign Service. In addition, he and the appointee worked closely together at CEIP during the pertinent period. He described the appointee as a scrupulous, ethical person of upstanding moral character and reputation. He further described the appointee as a highly patriotic and loyal American who is dedicated to the United States. He highly recommended the appointee for a high position of trust and confidence.

[redacted] advised that she has known the appointee on a social basis for a period of eight years and that she was acquainted with the appointee on a professional basis at CEIP from January, 1976 to January, 1977 and served as the appointee's assistant for a period of several months. She stated that the appointee's character, associates, reputation and loyalty are completely favorable and described the appointee as an ambitious, hardworking and extremely bright individual. She highly recommended the appointee for a responsible position with the United States Government.

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[redacted] The Arms Control Association, advised that he was associated with the appointee on a professional basis during the pertinent period. He commented favorably on the appointee's character, associates, reputation and loyalty and recommended him for a position of confidence and trust.

[redacted] Face to Face Program, advised that he and the appointee worked together at Carnegie for the last one and one half years but that he has known the appointee on a social basis for four years. He stated that the appointee's character, associates, reputation and loyalty are completely favorable and recommended the appointee for a position of confidence and trust.

[redacted] Foreign Policy Magazine, advised that he worked for the appointee as his assistant during the period January, 1976 to January, 1977. He stated that the appointee has always impressed him as a very responsible, able and dedicated individual of upstanding character, associates, reputation and loyalty. He recommended the appointee without question for a position of confidence and trust.

WFO 161-3820

LVA:smt

1

U.S. Department of State (USDS)
Washington, D.C.

On 1/26/77, RICHARD THRONEBERGER, Personnel Records Branch, USDS, advised his department had not received the Official Personnel File on the appointee, RICHARD CHARLES HOLBROOKE, from the St. Louis Federal Record Center. Mr. THRONEBERGER made available for review by SA [REDACTED] the Official Service Record Card on the appointee. The Service Record Card contained no derogatory or additional information.

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WFO 161-3820

LVA:nas

1

The following interviews were conducted by SA [redacted] on 1/27/77:

[redacted] for East Asian and Pacific Affairs, United States Department of State (USDS), advised he has known the appointee, RICHARD CHARLES HOLBROOKE, since 1963 or early 1964 when the appointee was serving under his direction in Viet Nam. [redacted]

[redacted] advised that their association has been both social and professional since that time. He stated he considered the appointee to be highly intelligent and highly motivated. He stated he has no reason whatsoever to question the appointee's character, associates, reputation or loyalty and would definitely recommend him for a position of trust and confidence with the United States Government.

[redacted] of State, USDS, advised he has known the appointee on a professional and social basis for approximately 12 years. He stated the appointee is honest, intelligent, articulate and a straightforward person and he has no reason whatsoever to question the appointee's character, associates, reputation or loyalty. He stated he would highly recommend the appointee for a position of trust and confidence with the United States Government.

[redacted] Affairs, USDS, advised he has known the appointee as a close personal friend since they joined the Foreign Service together in 1962. He stated they were together off and on for approximately three years in Viet Nam and he considers the appointee to be hardworking, intelligent and possessing great integrity. He stated the appointee was an extremely good Foreign Service Officer and that he had no reason whatsoever to question the appointee's character, associates, reputation or loyalty. [redacted] advised he would certainly recommend the appointee for a position of trust and confidence with the United States Government.

[redacted] Viet Nam, Laos and Cambodian Affairs, USDS, advised he has known the appointee both socially and professionally since late 1963 when the appointee was a Foreign Service Officer in Viet Nam. He advised he considers the appointee to be extremely bright and totally loyal. He stated the appointee has the best interest of the United States at heart and he has no reason

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WFO 161-3820

2

whatsoever to question the appointee's character, associates, reputation or loyalty. He stated the appointee is very capable, active and is held in very high regard by his associates. He stated he would highly recommend the appointee for a position of trust and confidence with the United States Government.

WFO 161-3820

LVA:smt

1

The following interviews were conducted by SA
[redacted] on 1/26/77:

[redacted]
[redacted]
[redacted] of State, U.S. Department of State (USDS), advised he has known the appointee, RICHARD CHARLES HOLBROOKE, since the middle of November, 1976 when they were working together on the CARTER Transition Staff. [redacted] stated he considered the appointee to be a highly talented, very personable foreign policy expert. He stated he has no reason to question the appointee's character, associates, reputation or loyalty and would recommend him for a position of trust and confidence with the U.S. Government.

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[redacted] Policy Planning Staff, USDS, advised he has known the appointee intimately since 1962. He stated he considers the appointee to be a very fine, intelligent, hardworking public servant and has no reason whatsoever to question the appointee's character, associates, reputation or loyalty. He stated he would highly recommend the appointee for a position of trust and confidence with the U.S. Government.

[redacted]
USDS, advised he has known the appointee since June, 1964 when the appointee was a Staff Aide for the Ambassador in Saigon, VietNam. He stated his association with the appointee was both social and professional and that he considered the appointee to be a very able, hardworking, bright, earnest officer. He stated the appointee was respected by all who came in contact with him and he saw no reason at all to question the appointee's character, associates, reputation or loyalty. He stated he would recommend the appointee for a position of trust and confidence with the U.S. Government.

[redacted] Bureau
[redacted] of East Asian and Pacific Affairs, USDS, advised he has known the appointee since 1963 when the appointee was a Junior Foreign Officer in VietNam with the Agency for International Development. He stated they later served together at the Paris Peace Talks in 1968. [redacted] stated he was acquainted with the appointee both socially and professionally and that he considered the appointee to be extremely able, bright and very objective. He stated he has no reason to question the appointee's character, associates, reputation or loyalty and would absolutely recommend him for a position of trust and confidence with the U.S. Government.

WFO 161-3820

GES:smt

1

WHITE HOUSE OFFICE (WHO)

National Security Council (NSC)

The following investigation at captioned offices was conducted by SA GEORGE E. SAUNDERS on 1/25/77:

The files of the Personnel Office, WHO, indicate the appointee, RICHARD C. HOLBROOKE, was detailed as a Staff Assistant to WHO from 7/11/66 to 10/21/67. He worked under the supervision of ROBERT KOMER. The files contain no additional pertinent information.

The files of the Records Office, WHO, contain no record for the appointee.

WFO 161-3820

NRM:mkg

1

REFERENCE

The following investigation was conducted by
SA [redacted] on 1/27/77:

ROBERT W. KOMER, consultant, The Rand Corporation, 2100 M. Street, N.W., advised he initially hired RICHARD HOLBROOKE as his special assistant while at the White House from April, 1966 to May, 1967. Records reflecting exact dates of employment were nonexistent. KOMER considered appointee a brilliant young man, and a previously carefully screened professional foreign service officer who is very dedicated to his professional work. KOMER further stated that he could attest to the appointees moral character, trustworthiness, conscientiousness, and integrity, and he could think of nothing negative about the individual. KOMER recommended HOLBROOKE with no reservations for a position of trust and confidence with the U.S. Government.

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WFO 161-3820

SRP:nas

1

ASSOCIATE

Governor AVERELL HARRIMAN
3320 M Street, N.W.
Washington, D. C.

On 1/28/77, Governor HARRIMAN advised SA [REDACTED]
[REDACTED] of the following.

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He has known appointee since May of 1968 when appointee joined the staff of the Peace Mission which was negotiating with the North Vietnamese. He stated that he knows appointee well and since their meeting in 1968 their friendship has grown. He stated that appointee has stayed at his country home in New York State and on occasion appointee dines with him in Washington. Governor HARRIMAN stated that appointee became acquainted with Governor CARTER a few years ago and their relationship grew into a close friendship. He stated that through appointee, he has been in contact with President CARTER on three occasions during sensitive discussions regarding communications between President CARTER and Soviet Authorities. He stated that during these conversations, appointee was always present and enjoys the highest trust and confidence of President CARTER. Governor HARRIMAN advised that appointee has impressed him as a man with the courage of his convictions and has been known to argue against the prevailing policy rather than to acquiesce against group consensus. Governor HARRIMAN stated that he is aware of absolutely no derogatory information regarding appointee's character, associates, reputation or loyalty and highly recommends him for a position in the new CARTER Administration.

WFO 161-3820

RLW:mgf

1

CREDIT AND POLICE AGENCIES

SA CHARLES W. SMITH caused a search to be made of the files of the Credit Bureau, Incorporated, Washington, D. C, and was advised on 1/25/77, that the files contained no credit rating for the appointee.

On 1/25/77, SC [] determined that no arrest record was contained in the Metropolitan Police Department files concerning the appointee ~~at []~~, ~~[]~~, ~~[]~~.

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It is to be noted that at all times an indefinite number of unidentified records are out of file and not available for review.

On 1/25/77, SC [] determined that a record was contained in the Department of Transportation, Bureau of Motor Vehicle Services, Government of the District of Columbia files concerning the appointee. The files contained the following information:

<u>DATE</u>	<u>OFFENSE #</u>	<u>DISPOSITION</u>	<u>POINTS</u>
10/6/72	8818720 (Traffic Division)	Convicted	None
	Passing Red Light		
1/24/73	8865374 (Third District)	Convicted	None
	Passing Red Light		
9/8/73	9109780 (Traffic Division)	Convicted	None
	No Left Turn		
1/4/74	9099567 (Traffic Div)	Not Convicted	
	Speeding in excess of limits		
1/19/76	3232699 Special Operation	Forfeit	2
	Division, Stop Sign		

On 1/25/77, SC [] searched the files of the U. S. Park Police and no identifiable adult criminal or traffic record could be located regarding the appointee or relatives.

Agent: 767-5020
WFO #:

MISCELLANEOUS

SC [] caused a search to be made of the files of the Bureau of Personnel Investigations, Civil Service Commission, and was advised on 1/27/77 that no (additional pertinent information) (~~record~~) was found concerning the APPOINTEE.

On 1/28/77, SC [] caused a search to be made of the files of the U. S. Secret Service, Department of the Treasury, and was advised that (no record) (~~no derogatory information~~) (~~no additional pertinent information~~) was found concerning the APPOINTEE.

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b7C

WFO 161-3820

RLW:meh

1

Verification of Divorce

On 1/26/77 SC [redacted] reviewed the court records of the Superior Court of D. C. Domestic Relations Branch;

Superior Court of D. C.
Domestic Relations Branch
Family Division
#D 1393-75

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b7C

[redacted]
Washington, D. C.
(plaintiff)

Vs.

Richard C. Holbrooke
1524 Corcoran Street, N. W.,
Washington, D. C.
(defendant)

On 5/2/75 plaintiff filed complaint for an absolute divorce on ground of voluntary separation for more than one year.

Parties were married on [redacted] and two children, namely: [redacted] were born of this marriage.

On 9/10/75 ordered, adjudged and decreed that plaintiff be awarded an absolute divorce from defendant on ground of voluntary separation without cohabitation for more than one year. Plaintiff awarded permanent custody of minor children.

FBI

Date: JANUARY 28, 1977

Transmit the following in PLAIN
(Type in plaintext or code)Via TELETYPE IMMEDIATE
(Precedence)

FM WASHINGTON FIELD (161-3820) (P) n
TO DIRECTOR (161-4612) (MAIL) IMMEDIATE
NEW YORK (161-2129) IMMEDIATE

BOSTON IMMEDIATE

BT

CLEAR

RICHARD CHARLES HOLBROOKE; SPECIAL INQUIRY; BUDED JANUARY
28, 1977, WITHOUT FAIL.

RE BUREAU TELETYPE AND AIRTEL DATED JANUARY 21, 1977,
NO COPY BOSTON.

FOR INFORMATION BOSTON BUREAU HAS BEEN REQUESTED TO
CONDUCT EXPEDITE INVESTIGATION TO BRING UP TO DATE AUGUST,
1966, SPECIAL INQUIRY OF HOLBROOKE WHO IS BEING CONSIDERED
FOR PRESIDENTIAL APPOINTMENT.

BORN APRIL 24, 1941, NEW YORK CITY, NEW YORK, RESIDES
1524 CORCORAN STREET, WASHINGTON, D. C., SOCIAL SECURITY
NUMBER 132-32-3096.

APPOINTEE FAILED TO INCLUDE NAMES OF REFERENCES AND RECORDED

①-Bureau
LEWFO

RLW:dlb
(2)

b6
b7C

Approved: *[Signature]*

Special Agent in Charge

Sent

M

Per *[Signature]*53 MAR 21 1977 *[Signature]*

F B I

Date:

Transmit the following in _____
(Type in plaintext or code)Via _____
(Precedence)

PAGE TWO WF 161-3820 CLEAR
ASSOCIATES ON HIS SF-86 AND, [REDACTED] HARVARD
UNIVERSITY, DEPARTMENT OF GOVERNMENT, TELEPHONE NUMBER [REDACTED]
[REDACTED] SHOULD BE CONSIDERED ASSOCIATE.

FOR INFORMATION NEW YORK APPOINTEE FAILED TO INCLUDE
THE FOLLOWING INFORMATION ON SF-86:

APPOINTEE REPORTEDLY WAS REMARRIED JANUARY 1, 1977,

(1) IN NEW YORK CITY TO AN INDIVIDUAL IDENTIFIED AS [REDACTED]
[REDACTED] DATE OF BIRTH [REDACTED] WHO REPORTEDLY RESIDES
AT [REDACTED] NEW YORK CITY.

APPOINTEE'S BROTHER, [REDACTED] REPORTEDLY
(2) RESIDING AT [REDACTED] NEW YORK, WHICH
IS THE [REDACTED] THE APPOINTEE'S MOTHER.

APPOINTEE ALSO LISTS ASSOCIATE, [REDACTED] REPORTEDLY
(3) CAN BE CONTACTED AT [REDACTED] NEW YORK,
TELEPHONE NUMBER [REDACTED]

ALSO INVESTIGATION AT WASHINGTON FIELD HAS INDICATED
(4) THAT WHILE APPOINTEE INDICATES EMPLOYMENT AS MANAGING EDITOR
OF FOREIGN POLICY MAGAZINE FROM 1972 TO THE PRESENT, RECORDS
FOR THIS CORPORATION ARE MAINTAINED AT THE CARNEGIE ENDOWMENT

Approved: _____ Sent _____ M Per _____
Special Agent in Charge

F B I

Date:

Transmit the following in _____
(Type in plaintext or code)Via _____
(Precedence)

PAGE THREE WF 161-3820 CLEAR

FOR INTERNATIONAL PEACE, [REDACTED]

[REDACTED] NEW YORK, TELEPHONE NUMBER [REDACTED]

[REDACTED] NEW YORK SHOULD NOTE THAT APPOINTEE'S

SF-86 INDICATES EMPLOYMENT AT BOTH THE STATE DEPARTMENT AND
WITH THE CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE BETWEEN
1972 AND 1974, SO SPECIFIC DATES OF EMPLOYMENT SHOULD BE
OBTAINED IF POSSIBLE.

FOR ADDITIONAL INFORMATION OF BOTH RECEIVING OFFICES,
APPOINTEE HAS REQUESTED ACCESS TO HIS FILE UNDER FOIA IN
THE PAST AND ^{it is} ~~has~~ ANTICIPATED A NEW REQUEST WILL BE FORTHCOMING.

RECEIVING OFFICES HANDLE INVESTIGATION AS EXPEDITIOUSLY
AS POSSIBLE NOTING BUREAU DEADLINE AND REPORT RESULTS AS
SOON AS AVAILABLE.

BUREAU COPY SENT BY MAIL.

BT

#

Approved: _____ Sent _____ M Per _____
Special Agent in Charge

FBI

Date: 1/28/77

Transmit the following in PLAINTEXT

(Type in plaintext or code)

Via TELETYPEIMMEDIATE

(Precedence)

FM WASHINGTON FIELD (161-3820) ✓

TO DIRECTOR (MAIL) (161-4612) (IMMEDIATE)
ALEXANDRIA (IMMEDIATE)
PORTLAND (IMMEDIATE)

BT

CLEAR

RICHARD CHARLES HOLBROOK, SPECIAL INQUIRY, BUDED JANUARY 28,
1977, WITHOUT FAIL.REBUTEL AND AIRTEL DATED JANUARY 21, 1977. NO COPIES
PORTLAND.FOR INFORMATION OF PORTLAND OFFICE, BUREAU HAS BEEN
REQUESTED TO CONDUCT AN EXPEDITE INVESTIGATION TO BRING
UP TO DATE AUGUST, 1966 SPECIAL INQUIRY OF HOLBROOK WHO
IS BEING CONSIDERED FOR A PRESIDENTIAL APPOINTMENT. BORN
APRIL 24, 1941, SOCIAL SECURITY NUMBER 132-32-3096, HEIGHT
SIX FEET ONE INCHES TALL, WEIGHT 180 POUNDS, PLACE OF BIRTH
NEW YORK CITY.

INVESTIGATION CONDUCTED BY WASHINGTON FIELD HAS

- ① Bureau
1- WFO

RLW:stw
(2)NOT RECORDED
22 MAR 7 1977

Approved: _____

Special Agent in Charge

Sent _____

M

Per _____

53 MAR 21 1977

F B I

Date:

Transmit the following in _____
(Type in plaintext or code)Via _____
(Precedence)

PAGE TWO WF 161-3820

DETERMINED THAT WHEN APPOINTEE WAS EMPLOYED AT THE STATE
DEPARTMENT IN 1962 TO 1974, THAT THE FOLLOWING INDIVIDUALS
WERE EMPLOYED IN THE SAME SECTION MAY HAVE KNOWN HIM AND
MAY BE ABLE TO COMMENT CONCERNING THE APPOINTEE:

[REDACTED] LAST KNOWN ADDRESS, [REDACTED]

[REDACTED] OREGON.

[REDACTED]
VIRGINIA.[REDACTED]
VIRGINIA.

RECEIVING OFFICES ARE REQUESTED TO CONDUCT EXPEDITIOUS
INVESTIGATION AND PRESENT RESULTS NOTING BUREAU DEADLINE.

BUREAU COPY SENT BY MAIL.

BT

b6
b7cApproved: _____ Sent _____ M Per _____
Special Agent in Charge

PD0038 0290417Z

RR HQ

DE PD 001

R 290019Z JAN 77

FM PORTLAND (161-534) RMC

TO DIRECTOR (161-4612) ROUTINE

FEDERAL BUREAU OF INVESTIGATION
COMMUNICATIONS SECTION

JAN 28 1977

TELETYPE

Assoc. Dir.	_____
Dep. AD Adm.	_____
Dep. AD Inv.	_____
Asst. Dir.:	_____
Adm. Serv.	_____
Ext. Affairs	_____
Fin. & Pers.	_____
Gen. Inv.	_____
Ident.	_____
Intell.	_____
Legal Coun.	_____
Plan. & Insp.	_____
Rec. Mgt.	_____
S & T. Serv.	_____
Spec. Inv.	_____
Training	_____
Telephone Rm.	_____
Director's Sec'y	_____

RICHARD CHARLES HOLBROOK, SPECIAL INQUIRY, BUDED JANUARY 28, 1977, WITHOUT FAIL.

RE WFO TELETYPE TO THE BUREAU DATED JANUARY 28, 1977.

ASSOCIATES:

ON JANUARY 28, 1977, [REDACTED]

[REDACTED]

LEWIS AND CLARK UNIVERSITY, PORTLAND, OREGON, AND FORMER AMBASSADOR TO ETHIOPIA AND THE DIRECTOR GENERAL OF THE FOREIGN SERVICE U.S. STATE DEPARTMENT, ADVISED THAT HE HAD KNOWN THE APPOINTEE RICHARD HOLBROOK FOR A NUMBER OF YEARS ON A PROFESSIONAL BASIS. HE STATED THAT WHEN HE (HALL), WAS DIRECTOR GENERAL OF FOREIGN SERVICE IN THE STATE DEPARTMENT, HE KNEW OF HOLBROOK AS A YOUNG OFFICER IN THE

NOT RECORDED

22 MAR 7 1977

53 MAR 21 1977

9/AMCJ

PAGE TWO PD 161-534 CLEAR

PERSONNEL OFFICE OF THE STATE DEPARTMENT AND HAD LITTLE CONTACT WITH HIM AT THIS TIME. SUBSEQUENTLY, HE HAD CLOSER CONTACT WITH THE APPOINTEE DURING APPROXIMATELY 1971 WHEN THE MANAGING EDITOR OF "FOREIGN POLICY", A PUBLICATION PUBLISHED QUARTERLY BY NATIONAL FARES INCORPORATED IN ASSOCIATION WITH THE CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE, DIED AND THE MAGAZINE NEEDED A NEW MANAGING EDITOR. HE RECOMMENDED HOLBROOK FOR THIS POSITION AND THE LATTER SECURED THIS POSITION AS MANAGING EDITOR AND CONTINUES IN THIS CAPACITY TO THE PRESENT DATE. HIS LAST CONTACT WITH THE APPOINTEE WAS APPROXIMATELY THREE YEARS AGO WHEN THE LATTER CAME TO HIS OFFICE FOR A PERSONAL VISIT.

REGARDS THE APPOINTEE AS A VERY STABLE INDIVIDUAL, VERY ENERGETIC, POSSESSING A PLEASANT PERSONALITY, AND GOOD MIND. HE IS A VERY HARD WORKING INDIVIDUAL WHOSE WRITING STYLE IS CRISP AND ANALYTICAL WHICH APPEALS TO PRESIDENT CARTER FOR WHOM HE WROTE SPEECHES DURING THE LATTER'S PRESIDENTIAL CAMPAIGN. HE IS A VERY LIGHT SOCIAL DRINKER, AND POSSESSES GOOD CHARACTER, ASSOCIATES WITH PEOPLE OF LIKE QUALITY, AND WHOSE ALLEGIANCE TO THE UNITED STATES IS

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PAGE THREE PD 161-534 CLEAR

UNQUESTIONED.

[] ADVISED THAT HE HAD RECEIVED INFORMATION THE APPOINTEE IS BEING CONSIDERED FOR ASSISTANT SECRETARY FOR FAR EASTERN AFFAIRS. IN THIS POSITION, [] STATED, THE APPOINTEE WOULD IN ALL LIKELIHOOD DO A GOOD JOB, AND WOULD PROGRESS AND POSSIBLY BE A FUTURE SECRETARY OF STATE. HE STATED THAT HE HAD NEVER RECEIVED ANY INFORMATION OF AN ADVERSE NATURE CONCERNING ANY ASPECT OF THE APPOINTEE'S BACKGROUND, AND WOULD RECOMMEND HIM FOR A POSITION OF TRUST AND RESPONSIBILITY WITH THE UNITED STATES GOVERNMENT.

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THE ABOVE INDIVIDUAL WAS INFORMED OF THE PROVISIONS OF THE PRIVACY ACT AND DID NOT REQUEST CONFIDENTIALITY.

INVESTIGATION CONDUCTED AT PORTLAND BY SA []

BT

BS0009 0312304

RR HQ

DE BS

R 311650Z JAN 77

FM BOSTON (161-1608) (RUCY)

TO DIRECTOR ROUTINE

BT

CLEAR

REC'D - Bureau of Investigation
COMMUNICATIONS SECTION

JAN 31 1977
TELETYPE

Assoc. Dir. _____
Dep. AD Adm. _____
Dep. AD Inv. _____
Asst. Dir.:
Adm. Serv. _____
Ext. Affairs _____
Fin. & Pers. _____
Gen. Inv. _____
Ident. _____
Intell. _____
Legal Coun. _____
Plan. & Insp. _____
Rec. Mgt. _____
S. & T. Serv. _____
Spec. Inv. _____
Training _____
Telephone Rm. _____
Director's Sec'y _____

RM. 3821

RICHARD CHARLES HOLBROOKE, SPIN, BUDED: JANUARY 28, 1977

REMFOTT JANUARY 28, 1977 AND BSTT JANUARY 28, 1977.

ASSOCIATE

ON EVENING OF JANUARY 28, 1977, [REDACTED]

[REDACTED] HARVARD UNIVERSITY, CAMBRIDGE, MASSACHUSETTS,

ADVISED THAT HE HAS KNOWN MR. HOLBROOKE FOR THE PAST FIVE YEARS

DURING WHICH HE HAS BEEN EMPLOYED AS THE FULL-TIME MANAGING

EDITOR OF THE MAGAZINE "FOREIGN POLICY" OF WHICH [REDACTED]

IS A [REDACTED] HE DESCRIBED MR. HOLBROOKE AS A VERY

ABLE AND ENERGETIC PERSON CONCERNING WHOM HE KNOWS NOTHING OF AN

ADVERSE NATURE. ON THE BASIS OF THIS PROFESSIONAL RELATIONSHIP,

HE SAID HE WOULD RECOMMEND MR. HOLBROOKE FOR A RESPONSIBLE

APPOINTMENT IN THE GOVERNMENT.

BT

53 MAR 21 1977

NOT RECORDED
22 MAR 7 1977

9/mc

NY0760 0012322Z

RR HQ WF

DE NY

R 012140Z JAN 77

FM NEW YORK (161-2129) (P)

TO DIRECTOR ROUTINE

WASHINGTON FIELD (161-3820) ROUTINE

FEDERAL BUREAU OF INVESTIGATION
COMMUNICATIONS SECTION

FEB 01 1977

TELETYPE

Assoc. Dir. _____
Dep. AD Adm. _____
Dep. AD Inv. _____
Asst. Dir.:
Adm. Serv. _____
Ext. Affairs _____
Fin. & Pers. _____
Gen. Inv. _____
Ident. _____
Intell. _____
Legal Coun. _____
Plan. & Insp. _____
Rec. Mgt. _____
S. & T. Serv. _____
Spec. Inv. _____
Training _____
Telephone Rm. _____
Director's Sec'y _____

S.T.
BT
C L E A R

RICHARD CHARLES HOLBROOKE; SPECIAL INQUIRY; BUREAU DEADLINE:
JANUARY 28, 1977

RE WASHINGTON FIELD TELETYPE TO BUREAU, JANUARY 28, 1977;
NEW YORK TELEPHONE CONVERSATION WITH WASHINGTON FIELD, FEBRUARY
1, 1977.

EMPLOYMENT

CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE, 345 EAST 46TH
STREET, NEW YORK, NEW YORK. ON JANUARY 31, 1977, [REDACTED]

[REDACTED] ADMINISTRATIVE SERVICES, ADVISED HER RECORDS INCOMPLETE
REGARDING APPOINTEE, BUT BEST ESTIMATE CONCERNING PERIOD OF
EMPLOYMENT IS MARCH OR APRIL, 1972 TO JANUARY 31, 1977, AS

NOT RECORDED
22 MAR 7 1977

1cc destroyed
53 MAR 21 1977 1393

9/m ed

PAGE TWO NY 161-2129 C L E A R

MANAGING EDITOR, "FOREIGN POLICY MAGAZINE," AND DIRECTOR OF PUBLICATIONS, CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE, MAY, 1973 TO JANUARY 31, 1977. SHE ADVISED APPOINTEE INTELLECTUAL, HONEST, MOST TRUSTED EMPLOYEE, HARD WORKER, LOYAL TO UNITED STATES, OF GOOD CHARACTER AND REPUTATION. SHE ADVISED APPOINTEE WORKED OUT OF WASHINGTON, D.C. OFFICE, APPEARED IN NEW YORK OFFICE OCCASIONALLY WHEN "FOREIGN POLICY MAGAZINE" WENT TO PRESS. RECOMMENDS.

ON JANUARY 31, 1977, [REDACTED]

[REDACTED] "FOREIGN POLICY MAGAZINE," ADVISED SHE HAS KNOWN APPOINTEE SINCE HIS EMPLOYMENT AS MANAGING EDITOR, "FOREIGN POLICY MAGAZINE," IN 1972. SHE ADVISED APPOINTEE PRINCIPALLY LOCATED WASHINGTON, D.C., WHILE SHE OPERATES FROM NEW YORK CITY. SHE DESCRIBED APPOINTEE AS BRIGHT, SHARP, CAPABLE, WELL RESPECTED, OF GOOD CHARACTER, AND LOYAL TO UNITED STATES. SHE RECOMMENDS.

ON JANUARY 31, 1977, [REDACTED]

[REDACTED] ADVISED HE HAS KNOWN APPOINTEE SINCE APRIL OF 1973 ONLY FROM OCCASIONAL CONTACT WHEN APPOINTEE TRAVELED TO NEW YORK CITY RE "FOREIGN POLICY MAGAZINE." HE

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PAGE THREE NY 161-2129 C L E A R

ADVISED HE DOES NOT KNOW APPOINTEE SOCIALLY, BUT DESCRIBED HIM AS BRIGHT, AMBITIOUS, OF GOOD CHARACTER, TRUSTWORTHY, REPUTABLE. HE ADVISED APPOINTEE RESPONSIBLE FOR SUCCESS OF "FOREIGN POLICY MAGAZINE," WELL RESPECTED AT CARNEGIE ENDOWMENT. [REDACTED] RECOMMENDS.

ON FEBRUARY 1, 1977, [REDACTED]

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ADVISED SHE HAS KNOWN APPOINTEE SINCE 1972, BUT NOT WELL AS APPOINTEE BASED IN WASHINGTON, D.C. SHE DESCRIBED APPOINTEE AS HARD WORKER, WELL RESPECTED AT CARNEGIE, BRIGHT MAN, FINE REPUTATION AS SCHOLAR. SHE ADVISED APPOINTEE WITTY, OF GOOD CHARACTER, WITH FINE PERSONAL REPUTATION. SHE KNOWS NO DEROGATORY INFORMATION CONCERNING APPOINTEE AND WOULD RECOMMEND HIM FOR POSITION OF TRUST.

ON FEBRUARY 1, 1977, [REDACTED] ADVISED THE FOLLOWING INDIVIDUALS LOCATED CARNEGIE ENDOWMENT, 11 DUPONT CIRCLE, NORTHWEST, WASHINGTON, D.C., TELEPHONE 202-797-6400, WORKED WITH APPOINTEE IN WASHINGTON:

[REDACTED]
OF "FACE TO FACE" PROGRAM; [REDACTED]

[REDACTED] FURTHER ADVISED [REDACTED]

PAGE FOUR NY 161-2129 C L E A R

[REDACTED] OF STATE FOR INTERNATIONAL ORGANIZATIONS, BUREAU OF
INTERNATIONAL ORGANIZATIONS, UNITED STATES STATE DEPARTMENT,
WASHINGTON, D.C., IS FORMER [REDACTED] OF CARNEGIE ENDOWMENT,
WHO WORKED CLOSELY WITH APPOINTEE.

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BT

#

TREAT AS ORIGINAL

TRANSMIT VIA:

☒ Teletype
☐ Facsimile
☐ Airtel

PRECEDENCE:

☐ Immediate
☐ Priority
☒ Routine

CLASSIFICATION:

☐ TOP SECRET
☐ SECRET
☐ CONFIDENTIAL
☐ E F T O
☒ CLEAR

Date 2/1/77

Asst. Dir. _____
 Dep. AD Adm. _____
 Dep. AD Inv. _____
 Asst. Dir.: _____
 Adm. Serv. _____
 Ext. Affairs _____
 Id. & Pers. _____
 Comm. _____
 Ident. _____
 Intell. _____
 Legal Coun. _____
 Plan. & Insp. _____
 Rec. Mgt. _____
 S. & T. Serv. _____
 Spec. Inv. _____
 Training _____
 Telephone Rm. _____
 Director's Sec'y _____

FM NEW ROCHELLE (NR 161-2129), P

TO DIRECTOR ROUTINE

BT

C L E A R

RICHARD CHARLES HOLBROOKE, SPECIAL INQUIRY, BUDED JANUARY 28, 1977

REWFOTELETYPE, JANUARY 28, 1977.

ON FEBRUARY 1, 1977, [REDACTED]

RM 3821

[REDACTED] NEW YORK (NY), ADVISED [REDACTED]

LSO

RESIDES [REDACTED] AND ENJOYS GOOD REPUTATION...

ON FEBRUARY 1, 1977, [REDACTED]

NY, POLICE

DEPARTMENT, ADVISED THEIR FILES SHOW NO RECORD [REDACTED]

BT

1 - NEW YORK
 1 - SUPERVISOR NR 2

WM:RMB
 (2)

NOT RECORDED

22 MAR 7 1977

53 MAR 21 1977

Approved: I/BA

Transmitted _____

Per 9/med

F B I

Date: 2/1/77

Transmit the following in _____
(Type in plaintext or code)Via AIRTEL _____
(Precedence)

TO: DIRECTOR, FBI (161-4612)

FROM: SAC, WFO (161-3820) (P) *FK**S.T.*
ONE
RICHARD CHARLES HOLBROOKE
SPECIAL INQUIRY
BUDED: 1/28/77 WF

ReButel and airtel dated 1/21/77 and WFO airtel to Bureau dated 1/28/77.

All persons interviewed were advised of the provisions of the Privacy Act of 1974, and unless otherwise noted, none requested confidentiality.

LEAD. WFO. Neighborhoods, IRS, State Security and associates outstanding. *MS*①- Bureau
1- WFORLW:mad
(2)*161-4612-45*
NOT RECORDED

22 MAR 7 1977

Approved: *MS*

Special Agent in Charge

Sent _____

M

Per *7/11/77*53 MAR 21 1977 *393*

WFO 161-3820

RLW:mad

1

EMPLOYMENT

The following investigation was conducted by
SA [redacted] United States Department of State on
February 1, 1977:

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Mr. KENNETH BAILES, Office of the Executive Director,
Bureau of East Asia and Pacific Affairs, advised that the
appointee has received a limited appointment until confirmation
as Assistant Secretary of State for East Asia and Pacific
Affairs.

Mr. BAILES advised that the appointee was sworn
into this position effective January 25, 1977.

WFO 161-3820

MJB:jss

1

1415 Rhode Island Avenue, N.W.
Washington, D. C. (WDC)

The following investigation was conducted by SA
[redacted] on January 27, 1977:

[redacted] Newport West Apartments, advised that she recalls the appointee as a tenant in the building during the approximate period 1973 to 1974. She stated that all rental records are maintained by the [redacted] Company, 1620 I Street, N.W., Washington, D.C. She recalled the appointee as a good tenant who never caused any problems.

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b7C

[redacted] Company, 1620 I Street, N.W., advised from records that the appointee resided in Apartment 707, 1415 Rhode Island Avenue, N.W., from April 1, 1973 until May, 1974 when the appointee vacated the apartment. The records reflect that the appointee vacated without giving notice and owing delinquent rental payments in the amount of \$235.00 plus a \$10.00 late charge payment. She stated that the account was turned over to a collection agency for collection, but that the records reflect that no payment has ever been made.

WFO 161-3820

MJB:mgf

1

[redacted]
Washington, D. C.

SA [redacted] following investigation was conducted by
on 1/28/77:

[redacted]
advised that she has resided in the neighborhood for thirty years and that the appointee resided at [redacted] from 1966 to 1972. She stated that the appointee and his wife are divorced but that the appointee's wife and two children still reside in the house. She recalled the appointee as a good neighbor who never caused any problems and added that she knows of nothing derogatory regarding the appointee's character, associates, reputation, or loyalty. She stated that she felt unqualified to recommend the appointee due to her limited personal knowledge of the appointee.

7 [redacted] N.W., advised that the appointee was formerly a next door neighbor and that the appointee's ex-wife and two children continue to live next door. He stated that he was only acquainted with the appointee as a neighbor but described the appointee's character, associates, reputation, and loyalty as favorable. He added that he could not recommend the appointee due to his extremely limited knowledge of the appointee.

[redacted]
advised that he as only resided at his present address since 1975, and is not acquainted with the appointee as the appointee was not residing in the neighborhood when he moved here.

[redacted]
advised that she and the appointee lived in the neighborhood from approximately 1966 to 1973, when she and the appointee separated and the appointee moved into an apartment in the spring of 1973. She stated that she and the appointee's two sons [redacted] continue to reside at [redacted]

[redacted] She described the appointee's character, associates, reputation, and loyalty as completely favorable and recommended the appointee without reservation for a position of trust and confidence with the U. S. Government.

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b7C

WFO 161-3820

RLW:dmv

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b6
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REFERENCE

On January 27, 1977, [redacted]
[redacted] Department of State (Retired), advised SA [redacted]
[redacted] that his high opinion of the appointee and the favorable
recommendation of the appointee which he provided to the Federal
Bureau of Investigation in 1966 remains unchanged. [redacted] stated he
has maintained a close personal friendship since both were State
Department employees together in 1963 and 1964 in Viet Nam. [redacted]
advised that more recently, in 1976, he and the appointee were in-
volved in President CARTER's Campaign efforts and, as such, were
associated professionally during the Presidential Campaign. [redacted]
stated he considers the appointee to be a highly qualified, competent,
and totally dedicated servant of the Federal Government and an
individual whose honesty, integrity, character, associates, and
reputation are above reproach. [redacted] concluded by once again highly
recommending the appointee for a position of trust and confidence
with the Federal Government.

WFO 161-3820

RLW:kao

1

The following interview was conducted by
SA [REDACTED] on 1/28/77:

PHILIP C. HABIB, Under Secretary for Political Affairs, U.S. Department of State (USDS), advised he has been socially and professionally associated with the appointee, RICHARD C. HOLBROOKE, for approximately eleven years. Mr. HABIB described the appointee as energetic, intelligent, dedicated and ambitious. He stated he has no reason to question the appointee's character, associates, reputation, or loyalty and would highly recommend him for a position of trust and confidence with the U.S. Government.

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b7C

WFO 161-3820

RPC:mgf

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b6
b7c

[redacted]
White House, advised SA [redacted] he has known RICHARD HOLBROOKE on a professional basis since July, 1976, when appointee first began working on the CARTER Presidential Campaign. He worked closely with him from July to November, 1976, in Atlanta, Georgia. He advised that all of his comments concerning HOLBROOKE were favorably and he has never questioned the appointee's loyalty to this government. He would have no hesitation in recommending him for a position of confidence and trust.

FEDERAL BUREAU OF INVESTIGATION
COMMUNICATIONS SECTION

FEB 04 1977

TELETYPE

Assoc. Dir. _____
Dep. AD Adm. _____
Dep. AD Inv. _____
Asst. Dir.:
Adm. Serv. _____
Ext. Affairs _____
Fin. & Pers. _____
Gen. Inv. _____
Ident. _____
Intell. _____
Legal Coun. _____
Plan. & Insp. _____
Rec. Mgt. _____
S. & T. Serv. _____
Spec. Inv. _____
Training _____
Telephone Rm. _____
Director's Sec'y _____

NY0938 0341925

PP HQ

DE NY

P 0351900Z FEB 77

FM NEW YORK (161-2129) (RUC)

TO DIRECTOR PRIORITY

CLEAR

RICHARD CHARLES HOOLBROKE, SPECIAL INQUIRY, BUDED PAST

REWFOTEL TO BUREAU, JANUARY 28, 1977.

INVESTIGATION AT [REDACTED] NEW YORK CITY,

DETERMINED THE NAME [REDACTED] APPEARS ON MAILBOX FOR APARTMENT

[REDACTED] LETTER CARRIER [REDACTED] US POST OFFICE, CONTACTED IN THE

AREA, ADVISED PARTY NAMED [REDACTED] RECEIVES MAIL AT [REDACTED]

[REDACTED] BUT RESIDENTS AT THE BUILDING NEVER SEEN. FURTHER

ADVISED SUPERINTENDENT AND/OR OWNER NOT KNOWN.

NUMEROUS ATTEMPTS TO CONTACT RESIDENTS AT [REDACTED]

[REDACTED] NYC, UNSUCCESSFUL TO DATE. SUPERINTENDENT, [REDACTED]

[REDACTED] ADVISED HE IS UNFAMILIAR WITH SUPERINTENDENT OF NOT RECORDED

[REDACTED]; BELIEVES HE RESIDES ELSEWHERE.

ON FEBRUARY 2, 1977, [REDACTED] AND COMPANY,

[REDACTED] NY, ADVISED HE IS [REDACTED] PF

53 MAR 2 1 1977

b6
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9/m20

PAGE TWO

NY 161-2129

C L E A R

"FOREIGN POLICY MAGAZINE"; HAS KNOWN APPOINTEE, MANAGING EDITOR, "FOREIGN POLICY MAGAZINE", SIX YEARS. HE ADVISED APPOINTEE DID EXCELLENT WORK ON MAGAZINE, IS WELL QUALIFIED INDIVIDUAL OF IMPECCABLE CHARACTER AND REPUTATION. HE ADVISED HE WOULD NOT HAVE RETAINED APPOINTEE'S SERVICES FIVE YEARS AS MANAGING EDITOR IF APPOINTEE'S LOYALTY OR INTEGRITY WAS QUESTIONED. HE ADVISED HE IS FAMILIAR WITH APPOINTEE'S FORMER WIFE, APPOINTEE'S MOTHER AND APPOINTEE'S PRESENT WIFE, WHO WORKS FOR [REDACTED] NEW YORK CITY, AND MAINTAINS APARTMENT ON [REDACTED] AS WELL AS AN APARTMENT IN WASHINGTON, D.C. WITH APPOINTEE. [REDACTED] ADVISED IT IS HIS BELIEF APPOINTEE'S WIFE'S MAIDEN NAME IS SPELLED [REDACTED] HE ADVISED APPOINTEE'S FAMILY ALL FINE PEOPLE. KNOWS NO DEROGATORY INFORMATION RE APPOINTEE OR FAMILY. HIGHLY RECOMMENDS.

INQUIRIES AT [REDACTED] NEW YORK, NEW YORK, DETERMINED APPOINTEE'S WIFE CURRENTLY IN WASHINGTON, D.C. UNTIL MONDAY, FEBRUARY 7, 1977; INTENDS TO RETAIN POSITION AT

[REDACTED] CORRECT SPELLING OF LAST NAME IS [REDACTED]

ON FEBRUARY 1, 1977, SA AUGUST J. MICEK CAUSED SEARCH

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PAGE THREE

NY 161-2129

C L E A R

OF NYCPD RECORDS WHICH REFLECT NO INFORMATION

IDENTIFIABLE WITH APPOINTEE'S WIFE.

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Encl.

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HON. DISSEMINATION

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February 4, 1977

BY LIAISON

Honorable Robert J. Lipshutz
Counsel to the President
The White House
Washington, D. C.

CC TO: *Car 29/5 49/330*
REQ. REC'D *8/5/81*
AUG 19 1981
ANS.
BY: *MJD* *LC*
Per Bus 9/76

Dear Mr. Lipshutz:

In accordance with a request received from you on January 21, 1977, an investigation has been conducted concerning Mr. Richard Charles Holbrooke. Transmitted herewith are two copies of a summary memorandum containing the results of this investigation.

An applicant-type investigation was conducted concerning Mr. Holbrooke in 1966, the results of which have been previously furnished to you. The enclosed summary memorandum covers the period since August, 1966.

b6 Per IRS
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The Office of Security, Department of State, and

[redacted] concerning Mr. Holbrooke have not been completed. When these checks and additional inquiries have been completed, you will be advised.

Sincerely yours,

161-4612-47

CM Kelley
Clarence M. Kelley
Director

REC-60
RECORDED
22 MAR 7 1977

DELIVERED BY LIAISON
ON *2/4/77* RLM

- Assoc. Dir. _____
Dep. AD Adm. _____
Dep. AD Inv. _____
Asst. Dir.:
Adm. Serv. _____
Ext. Affairs _____
Fin. & Pers. _____
Gen. Inv. _____
Ident. _____
Inspection _____
Intell. _____
Laboratory _____
Legal Coun. _____
Plan. & Eval. _____
Rec. Mgnt. _____
Spec. Inv. _____
Training _____
Telephone Rm. _____
Director Sec'y _____
- Enclosures (2)
- MEF:dd:jlm
(5)
- MAIL ROOM ☒ TELETYPE UNIT ☐

SEE NOTE PAGE TWO
RE *2/9/94*
MJD 191994
ANS BY MHP
ok to disseminate

53 MAR 21 1977 8343

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Honorable Robert J. Lipshutz

NOTE: Mr. Holbrooke was recently appointed Assistant Secretary of State for East Asia and Pacific Affairs. He was a Foreign Service Officer with the Department of State from 1962 to 1974, and later served as Director of Publications for Carnegie Endowment for International Peace in Washington, D. C. Investigation favorable, except for delinquent rent of \$235 and \$10 late charge owed to rental company for an apartment he vacated, without giving notice. Additional inquiries and checks outstanding.



UNITED STATES DEPARTMENT OF JUSTICE

FEDERAL BUREAU OF INVESTIGATION

WASHINGTON, D.C. 20535

February 4, 1977

RICHARD CHARLES HOLBROOKE

THE INVESTIGATION OF MR. HOLBROOKE COVERED INQUIRIES IN THE CONTINENTAL UNITED STATES AS TO HIS CHARACTER, LOYALTY, ABILITY, AND GENERAL STANDING, BUT NO INQUIRIES WERE MADE AS TO THE SOURCES OF HIS INCOME.

The information in this summary memorandum covers the period since August, 1966. Mr. Holbrooke was born on April 24, 1941, in New York, New York.

Education

Mr. Holbrooke attended Princeton University, Princeton, New Jersey, from September, 1969, to June, 1970, receiving no degree.

Employment

Mr. Holbrooke continued to be employed by the Department of State on detail to The White House Office, Washington, D. C., as a staff member. On September 24, 1967, he was reassigned to the Office of the Under Secretary of State, Washington, D. C. He served in various capacities in the United States and abroad until May 14, 1972, when he was placed on leave without pay in order to accept a position with "Foreign Policy" magazine, New York, New York. On May 17, 1974, he resigned. He attended Princeton University, Princeton, New Jersey, in his capacity as a Foreign Service Officer.

Mr. Holbrooke was employed by the Carnegie Endowment for International Peace, New York, New York, in Washington, D. C., as Managing Editor of its magazine, "Foreign Policy," from March, 1972, to January, 1977, and as Director of Publications from May, 1973, to January, 1977. He was on a leave of absence from July, 1976, to November, 1976.

161-4612-47
ENCLOSURE

Richard Charles Holbrooke

July, 1976, to
November, 1976

1976 Democratic Presidential
Campaign Committee, Incorporated,
Atlanta, Georgia, as a researcher
and advisor

January, 1977, to
the present

Department of State, Washington,
D. C., as Assistant Secretary for
East Asia and Pacific Affairs

Marital Status

Mr. Holbrooke is married to the former [redacted]
They reside at [redacted] Washington, D. C.

The records of the Domestic Relations Branch, Family
Division, Superior Court of the District of Columbia, indicate
that on May 2, 1975 [redacted] plaintiff,
filed a petition for divorce from Richard Charles Holbrooke,
defendant, on the grounds of voluntary separation for more
than one year. The records indicate they were married on June 27,
1964, at Saigon, South Vietnam, and two children were born of
this marriage. The children were identified as [redacted]

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[redacted]
born December 16, 1969. A decree of divorce was granted on
September 10, 1975. Mrs. Holbrooke was granted custody of
their two minor children.

[redacted] Washington, D. C., advised
she and Mr. Holbrooke separated in the spring of 1973 and were
divorced in 1975. She commented favorably concerning
Mr. Holbrooke's character, reputation, associates, and loyalty.
She recommended Mr. Holbrooke for a position of trust and
confidence with the United States Government.

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Interviews

W. Averill Harriman, former Ambassador to the Union
of Soviet Socialist Republics, advised in Washington, D. C.,
that he has been socially and professionally acquainted with
Mr. Holbrooke since May, 1968. He said they became acquainted
when Mr. Holbrooke joined the staff of the United States Peace
Mission which was negotiating with representatives of North
Vietnam in Paris, France. He said their friendship has grown

Richard Charles Holbrooke

since this meeting in 1968, and Mr. Holbrooke has stayed at his, Ambassador Harriman's, country home in New York State and dines with him on occasion in Washington, D. C. He said Mr. Holbrooke became acquainted with President Jimmy Carter a few years ago, and this relationship has grown into a close friendship. He said that through Mr. Holbrooke, he has been in contact with President Carter on three occasions involving sensitive discussions concerning communications between President Carter and Soviet authorities. He said Mr. Holbrooke was always present during these conversations, and in his opinion, enjoys the highest trust and confidence of President Carter.

Ambassador Harriman said Mr. Holbrooke impresses him as an individual with the courage to defend his convictions. He said Mr. Holbrooke has been known to argue against the prevailing policy rather than to acquiesce to the group consensus. He said he is aware of absolutely no derogatory information concerning Mr. Holbrooke's character, associates, reputation, or loyalty. He highly recommended Mr. Holbrooke for a position of trust and confidence with the United States Government.

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[redacted] for East Asia and Pacific Affairs, Department of State, Washington, D. C., advised he has been acquainted with Mr. Holbrooke since 1963 when Mr. Holbrooke was a Foreign Service Officer in South Vietnam on detail to the Agency for International Development. He said they later served together in 1968 in connection with the Vietnamese Peace Talks in Paris, France. He said he is also acquainted with Mr. Holbrooke on a social basis. He described Mr. Holbrooke as an intelligent, objective, and extremely capable individual. He commented favorably concerning Mr. Holbrooke's character, associates, reputation, and loyalty. He highly recommended Mr. Holbrooke for a position of trust and confidence with the United States Government.

[redacted] Publications, Carnegie Endowment for International Peace, Washington, D. C., advised she has been socially and professionally acquainted with Mr. Holbrooke since 1970. She noted that Mr. Holbrooke recently remarried and lives with his wife in Washington, D. C. She described Mr. Holbrooke as an intelligent and capable individual who is highly respected in his field. She commented favorably concerning Mr. Holbrooke's character, associates, reputation, and loyalty. She recommended Mr. Holbrooke for a position of trust and confidence with the United States Government.

Richard Charles Holbrooke

Cyrus R. Vance, Secretary of State, Washington, D. C., advised he has been acquainted with Mr. Holbrooke since 1968. He said he met Mr. Holbrooke in connection with the Vietnamese Peace Talks in Paris, France. He described Mr. Holbrooke as an excellent and splendid individual. He commented favorably concerning Mr. Holbrooke's character, associates, reputation, and loyalty. He recommended Mr. Holbrooke for a position of trust and confidence with the United States Government noting that he recommended Mr. Holbrooke for his present position with the Department of State.

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Philip C. Habib, Under Secretary for Political Affairs, Department of State, Washington, D. C., advised he has been socially and professionally acquainted with Mr. Holbrooke for approximately eleven years. He described Mr. Holbrooke as an energetic, intelligent, dedicated, and ambitious individual. He commented favorably concerning Mr. Holbrooke's character, associates, reputation, and loyalty to the United States. He highly recommended Mr. Holbrooke for a position of trust and confidence with the United States Government.

[REDACTED], Washington, D. C., advised that her firm manages the Newport West Apartments, Washington, D. C. She said her records indicate Mr. Holbrooke resided in this apartment complex from April, 1973, until May, 1974, when he vacated his apartment without giving notice and owing delinquent rental payments in the amount of \$235 plus a \$10 late charge. She said attempts have been made to collect this delinquent account and that to date, no payment has been received.

Twenty additional persons, consisting of neighbors, references, professional associates, and social acquaintances, were interviewed. They commented favorably concerning Mr. Holbrooke's ability, character, loyalty, reputation, associates, and morals. Mr. Holbrooke was described as honest, intelligent, discreet, hardworking, conscientious, and reliable. They recommended him for a position of trust and confidence with the United States Government. Those persons acquainted with his close relatives described them as reputable and loyal individuals.

Close Relatives

In addition to his wife and children, mentioned previously, Mr. Holbrooke has the following living close relatives:

Stepfather

Stanley Kearn
Scarsdale, New York

Mother

Trudi Moos Holbrooke Kearn
Scarsdale, New York

Brother

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Credit and Arrest Checks

Information has been received from appropriate credit reporting agencies indicating their files contain either no record or no additional pertinent information concerning Mr. Holbrooke.

Information has been received from appropriate law enforcement agencies indicating their files contain no record concerning Mr. Holbrooke or his close relatives, except the following:

Records of the Department of Motor Vehicles, District of Columbia Government, Washington, D. C., indicate Mr. Holbrooke was charged with five traffic violations such as speeding and no left turn, from October 6, 1972, to January 19, 1976, for which he was convicted on dates not indicated. The records contain no additional information concerning these traffic citations.

Agency Checks

Information has been received from the following governmental agencies indicating their files contain concerning

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Mr. Holbrooke.

Bureau of Personnel Investigations, Civil Service Commission; Central Intelligence Agency; United States Secret Service; and The White House Office.

Richard Charles Holbrooke

The central files of the FBI, including the files of the Identification Division, contain no additional pertinent information concerning Mr. Holbrooke.

FBI

TRANSMIT VIA:

☐ Teletype
☐ Facsimile
☒ Airtel

PRECEDENCE:

☐ Immediate
☐ Priority
☐ Routine

CLASSIFICATION:

☐ TOP SECRET
☐ SECRET
☐ CONFIDENTIAL
☐ E F T O
☐ CLEAR

Date 2/8/77

TO: DIRECTOR, FBI (161-4612)

FROM: SAC, WFO (161-3820) (P)

S.T.
 RICHARD CHARLES HOLBROOKE
 SPECIAL INQUIRY
 BUDED: 1/28/77 WF

ReButel and airtel dated 1/21/77, and WFOairtel to Bureau dated 1/28/77 and 2/1/77.

All persons interviewed were advised of the provisions of the Privacy Act of 1974, and unless otherwise noted, none requested confidentiality.

For information of the Bureau, SA GEORGE SAUNDERS has advised that interview of appointee's associate, [redacted] will be impossible until early next week because of the demands of his position. Because of the short deadline in this matter, no additional attempts will be made to interview [redacted]

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LEAD. WFO. IRS outstanding.

161-4612-48

NOT RECORDED

22 MAR 7 1977

1- Bureau
 1- WFO

RLW:mad
 (2)

Approved: 2/13/77

Transmitted _____

(Number)

(Time)

Per 9/11/77

53 MAR 21 1977

WFO 161-3820

MJB:dmv

1

Carnegie Endowment for International Peace
11 Dupont Circle, N.W.
Washington, D.C.

The following investigation was conducted by SA [redacted]
[redacted] on February 1, 1977:

[redacted] advised that the appointee was employed as the Managing Editor for the Foreign Policy Magazine from 1972 to 1977. He stated that while he was acquainted with the appointee only on a professional basis that he and the appointee worked very closely during this period and he had a great deal of time to observe the appointee's working habits. He described the appointee as being a very dedicated, hard working and responsible person of the highest integrity. He stated that the appointee's character, associates, reputation and loyalty are completely favorable and he recommended the appointee without question for a position of confidence and trust.

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[redacted] of Middle East Programs, advised that he and the appointee were associated on a professional basis at Carnegie from 1974 to 1977. He stated that he has had some limited social contacts with the appointee and that he has been to the appointee's home at 1524 Corcoran Street, N.W. He described the appointee as being an intelligent, dedicated and energetic individual for whom he has the highest regard and respect. He stated that the appointee's character, associates, reputation and loyalty are completely favorable and he highly recommended the appointee for a position of confidence and trust.

WFO 161-3820

RLW:stw

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STATE DEPARTMENT SECURITY

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On February 3, 1977, Special Agent [redacted] reviewed the files of the Security Office, United States Department of State (USDS) at Washington, D. C., which disclosed the following concerning RICHARD CHARLES ALBERT HOLBROOKE born April 24, 1941, at New York City, New York:

By letter dated March 4, 1971, the Regional Security Office, American Embassy, RABAT advised the State Department, Washington, D. C., that Foreign Service Officer, RICHARD HOLBROOKE, Peace Corps Director, RABAT, Morocco, had reported the loss of his State Department and Peace Corps identification cards on February 27, 1971. The theft was also reported to local police for investigation. HOLBROOKE stated someone entered his home and stole his wallet containing the identification cards.

By letter dated March 31, 1971, from USDS, the American Embassy at RABAT was advised that the loss of employee identification card had been recorded in the Office of Security. It was stated that another card could not be issued until HOLBROOKE was next in Washington, D. C.

Form DS-1032 indicates that HOLBROOKE resigned his position as Foreign Service Officer, USDS, (Leave Without Pay) effective May 17, 1974. It was noted that he had been in a "Leave Without Pay" status since May 14, 1972.

HOLBROOKE was granted "Top Secret" clearance by USDS on June 30, 1962, while he was a Foreign Service Officer.

The Security file does not show any termination of clearance concerning this individual; however, Security has advised that all its clearances terminate when the person's relationship with the Department of State terminates.

WFO 161-3820

2

On November 4, 1974, HOLBROOKE was granted "Secret" clearance by USDS in connection with a research project for the Commission on the Organization of the Government for the Conduct of Foreign Policy.

The Security file does not show any termination of clearance concerning this individual; however, Security has advised that all its clearances terminate when the person's relationship with the Department of State terminates.

On November 26, 1976, the Security Office, USDS granted HOLBROOKE "Top Secret" clearance as a member of the Transition Team for President-Elect CARTER.

The file indicates that HOLBROOKE, Foreign Service Reserve Officer, USDS, was granted "Top Secret" clearance by USDS on January 20, 1977, concerning his position as Assistant Secretary for East Asian and Pacific affairs.

It was noted in files of Security, USDS, in a USDS notice to Key Personnel dated November 24, 1976, that Mr. RICHARD HOLBROOKE would be a consultant to the Liaison Office for President-Elect CARTER in the Department of State.

WFO 161-3820

MJB:nas

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1524 Corcoran Street, N.W.
Washington, D. C.

The following investigation was conducted by SA
[redacted] on 1/31/77:

[redacted], advised that the appointee has lived [redacted] for a period in excess of two years. He stated that while he is only acquainted with the appointee as a neighbor the appointee has always impressed him as a very friendly, personable individual. He knows of nothing derogatory regarding the appointee's character, associates, reputation or loyalty and recommended the appointee for a position of confidence and trust with the United States Government.

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[redacted] advised that he has resided in the neighborhood for a period of about one year but that he is not acquainted with the appointee and could furnish no information regarding him.

Numerous attempts were made to contact other residents in the neighborhood regarding the appointee without success.

WFO 161-3820

LVA:file

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The following interview was conducted by SA [redacted]
[redacted] on February 1, 1977 in reference to the appointee,
RICHARD CHARLES HOLBROOKE:

[redacted]
Bureau of International Organization Affairs, U. S. Department
of State (USDS), advised he has been acquainted with the
appointee on a professional basis for approximately four years.
He advised they have had some limited social contact. HE
advised he first became acquainted with the appointee when the
appointee was the managing editor of Foreign Policy. [redacted]
stated he considered the appointee to be a brilliant man; in
the top one per cent of his age group. He stated he has no
reason to question the appointee's character, associates,
reputation, or loyalty, and would highly recommend him for a
position of trust and confidence with the U. S. Government.

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S.T.
JHR

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February 11, 1977

BY LIAISON

Honorable Robert J. Lipshutz
Counsel to the President
The White House
Washington, D. C.

Dear Mr. Lipshutz:

Reference is made to my letter dated February 4, 1977, which furnished you the results of investigation concerning Mr. Richard Charles Holbrooke.

Transmitted herewith are two copies of a summary memorandum containing the results of additional investigation which has been conducted in this matter.

This completes the investigation in this matter

Sincerely yours,

Clarence M. Kelley
Director

NOT RECORDED

22 MAR 7 1977

DELIVERED BY LIAISON
ON 2/17/77

Assoc. Dir. _____
Dep. AD Adm. _____
Dep. AD Inv. _____
Asst. Dir.: _____
Adm. Serv. _____
Ext. Affairs _____
Fin. & Pers. _____
Gen. Inv. _____
Ident. _____
Intell. _____
Legal Coun. _____
Plan. & Insp. _____
Rec. Mgt. _____
S. & T. Serv. _____
Spec. Inv. _____
Training _____

Enclosures (2)

NOTE: Supplemental summary memorandum prepared to report results of additional favorable interviews and one agency check.

MEF:dd:ljm

(5)

53 MAR 21 1977 ROOM ☒

TELETYPE UNIT ☐

RETURN TO

ROOM 3133

9/11/80

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b3 Per IRS
b6
b7C

b6
b7C



UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

WASHINGTON, D.C. 20535

February 11, 1977

RICHARD CHARLES HOLBROOKE

The information in this summary memorandum supplements the information contained in a summary memorandum dated February 4, 1977.

Interviews

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[redacted] Department of State, Washington, D. C., advised he has been socially and professionally acquainted with Mr. Holbrooke for approximately four years. He described Mr. Holbrooke as a "brilliant man." He said he considers Mr. Holbrooke to be "in the top one percent of his age group." He commented favorably concerning Mr. Holbrooke's character, associates, reputation, and loyalty. He highly recommended Mr. Holbrooke for a position of trust and confidence with the United States Government.

Warren Manshel, Editor and Publisher, "Foreign Policy" magazine, New York, New York, advised he has been socially and professionally acquainted with Mr. Holbrooke for approximately six years. He said Mr. Holbrooke's performance as Managing Editor of "Foreign Policy" magazine was excellent. He described Mr. Holbrooke as a hardworking and intelligent individual. He said he is acquainted with Mr. Holbrooke's mother, former wife, and present wife, describing them as reputable and loyal individuals. He said Mr. Holbrooke is a loyal American of excellent character, associates, and reputation. He highly recommended Mr. Holbrooke for a position of trust and confidence with the United States Government.

Seven additional persons, consisting of professional associates and social acquaintances, were interviewed. They commented favorably concerning Mr. Holbrooke's ability, character, loyalty, reputation, associates, and morals. Mr. Holbrooke was described as honest, intelligent, discreet, hardworking, conscientious, and reliable. They recommended him for a position of trust and confidence with the United States Government.

Richard Charles Holbrooke

Agency Check

The files of the Office of Security, Department of State, indicate Mr. Holbrooke had an active security clearance while he was previously employed by the Department of State from July, 1962, to May, 1974. This clearance was terminated when Mr. Holbrooke resigned. On January 20, 1977, he was granted a top secret clearance by the Department of State. This clearance is active.

pone their special order requests to another day.

Mr. ROBERT C. BYRD. Mr. President, I hope we will not have an attendance problem. I cannot say that we will not. I hope we will not have an attendance problem. I hope that, once we have disposed of the economic stimulus appropriations bill, we can continue our action on amendments to the code of ethics measure.

ORDER FOR RECESS FROM TOMORROW UNTIL 11 A.M. ON FRIDAY NEXT

Mr. ROBERT C. BYRD. Mr. President, I ask unanimous consent that when the Senate completes its business on tomorrow, it stand in recess until 11 a.m. on Friday next.

The PRESIDING OFFICER. Without objection, it is so ordered.

Mr. ROBERT C. BYRD. Mr. President, on Friday, upon the disposition of the act making economic stimulus appropriations, the code of conduct measure would automatically be back before the Senate, would it not,

The PRESIDING OFFICER. The Senator is correct.

APPOINTMENT BY THE VICE PRESIDENT

The PRESIDING OFFICER. The Chair, on behalf of the Vice President, pursuant to Public Law 86-380, appoints the Senator from Delaware (Mr. Roth) to the Advisory Commission on Intergovernmental Relations.

ORDER FOR H.R. 3437 TO BE HELD AT THE DESK

Mr. ROBERT C. BYRD. Mr. President, I ask unanimous consent that H.R. 3437 be held at the desk pending further disposition.

The PRESIDING OFFICER. Without objection, it is so ordered.

WAIVER OF THE CONGRESSIONAL BUDGET ACT WITH RESPECT TO CONSIDERATION OF S. 1025

Mr. ROBERT C. BYRD. Mr. President, I ask unanimous consent that the Senate proceed to the immediate consideration of Senate Resolution 121, waiver of section 402(a) of the Congressional Budget Act with respect to consideration of S. 1025, to amend the Securities and Exchange Act of 1934 to increase the amount authorized to be appropriated for the Securities and Exchange Commission for fiscal year 1977.

The PRESIDING OFFICER. The bill will be stated by title.

The legislative clerk read as follows:

A resolution (S. Res. 121) waiving section 402(a) of the Congressional Budget Act of 1974 with respect to the consideration of S. 1025.

The PRESIDING OFFICER. Is there objection to the present consideration of the resolution?

There being no objection, the resolution was considered and agreed to, as follows:

Resolved, That pursuant to section 402(c) of the Congressional Budget Act of 1974, the provisions of section 402(a) of such Act are waived with respect to the consideration of S. 1025. Such waiver is necessary because the need for the additional funds arose after May 15, 1976. The supplemental request, transmitted to Congress on January 13, 1977, covers the pay increase which went into effect in October 1976, and additional funds needed to complete the modernization of the automated data processing and record system of the Securities and Exchange Commission.

S. 1025—SECURITIES AND EXCHANGE COMMISSION AUTHORIZATIONS

Mr. ROBERT C. BYRD. Mr. President, I understand that Calendar No. 48, S. 1025, has now been cleared for action by unanimous consent, now that the waiver has been disposed of.

The PRESIDING OFFICER. The Senator is correct.

Mr. ROBERT C. BYRD. Is this correct?

Mr. BAKER. Mr. President, it is correct. We are cleared, pending only the adoption of the budget waiver, which was just done. We have no objection to proceeding with its disposition.

Mr. ROBERT C. BYRD. Mr. President, I would just ask the clerk to transfer Calendar No. 48 to the Unanimous Consent Calendar, so that it will be there on tomorrow.

The PRESIDING OFFICER. That will be done.

PROGRAM

Mr. ROBERT C. BYRD. Mr. President, the Senate will convene at 12 o'clock noon tomorrow.

After the two leaders or their designees have been recognized under the standing order, the Senate will resume the consideration of the pending measure, Senate Resolution 110. The pending question at that time will be on the adoption of the amendment, as modified, by Mr. SCHMITT, on which there is a time agreement of 1 hour. There will be rollcall votes throughout the afternoon tomorrow and late into the day.

RECESS

Mr. ROBERT C. BYRD. Mr. President, if there be no further business to come before the Senate, I move, in accordance

with the previous order, that the Senate stand in recess until 12 meridian tomorrow.

The motion was agreed to and at 9:27 p.m. on March 23, 1977, at 12 meridian.

NOMINATIONS

Executive nominations received by the Senate March 23, 1977:

FEDERAL TRADE COMMISSION

Michael Perischuk, of the District of Columbia, to be a Federal Trade Commissioner for the unexpired term of 7 years from September 26, 1970, vice Stephen A. Nye, resigned.

DEPARTMENT OF THE TREASURY

Robert Carswell, of New York, to be Deputy Secretary of the Treasury, vice George H. Dixon, resigned.

CONFIRMATIONS

Executive nominations confirmed by the Senate March 23, 1977:

DEPARTMENT STATE

Lucy Wilson Benson, of Massachusetts, to be Under Secretary of State for Coordinating Security Assistance programs.

Hodding Carter III, of Mississippi, to be an Assistant Secretary of State.

Richard Holbrooke, of the District of Columbia, to be an Assistant Secretary of State. Terence A. Todman, of the Virgin Islands, a Foreign Service officer of the class of career minister, to be an Assistant Secretary of State.

Patsy T. Mink, of Hawaii, to be an Assistant Secretary of State for Oceans and International Environmental and Scientific Affairs.

U.S. INFORMATION AGENCY

John E. Reinhardt, of Maryland, a Foreign Service Information officer of the class of Career Minister for Information, to be Director of the U.S. Information Agency.

AGENCY FOR INTERNATIONAL DEVELOPMENT

John J. Gilligan, of Ohio, to be Administrator of the Agency for International Development.

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

Jay Janis, of Florida, to be Under Secretary of Housing and Urban Development.

Lawrence D. Simons, of New York, to be an Assistant Secretary of Housing and Urban Development.

Robert Campbell Embry, Jr., of Maryland, to be an Assistant Secretary of Housing and Urban Development.

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Thomas D. Morris, of the District of Columbia, to be Inspector General, Department of Health, Education, and Welfare.

Arabella Martinez, of the District of Columbia, to be an Assistant Secretary of Health, Education, and Welfare.

The above nominations were approved subject to the nominees' commitments to respond to requests to appear and testify before any duly constituted committee of the Senate.

161-4612-51
NOT RECORDED

49 MAY 19 1977

55 MAY 24 1977

161-4612



UNITED STATES
EMERGENCY RESEARCH AND DEVELOPMENT ADMINISTRATION
WASHINGTON, D.C. 20545

~~FEDERAL GOVERNMENT~~

AUG 15 1977

Ms. Jacquelyn Dinwiddie
Staff Assistant
White House Security Office, Room 43
Old Executive Office Building
Washington, D.C. 20500

Dear Ms. Dinwiddie:

REQUEST FOR INVESTIGATIVE REPORTS -- RICHARD CHARLES HOLBROOKE

The Department of State has requested that the captioned individual be processed for access to Restricted Data.

This office has been advised that the Federal Bureau of Investigation (FBI) has conducted a recent investigation on Mr. Holbrooke for the White House. It would be of great assistance to this office in processing the Department of State's request if you would authorize the FBI to release a copy of the investigative reports to this Administration.

Your assistance in this matter is appreciated.

Sincerely,

H L Taylor

H. Laessle Taylor
Assistant Director for Security Affairs
Division of Safeguards and Security

AUTHORIZATION TO RELEASE
J. Dinwiddie
WHITE HOUSE OFFICE
8/17

161-4612-52

Summary memoranda dated
2-11-77, 2-4-77, and 8-26-66
furnished to ERDA on 8-18-77.

NOT RECORDED

2 AUG 23 1977

F-39
54 SEP 19 1977

161-4612

*G. LWS: agw
file*

FEDERAL BUREAU OF INVESTIGATION
FOIPA
DELETED PAGE INFORMATION SHEET

No Duplication Fees are charged for Deleted Page Information Sheet(s).

Total Deleted Page(s) ~ 12

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THE WHITE HOUSE
WASHINGTON

Date

7-2-98

To: Federal Bureau of Investigation
Attn: ☐ EADSU (Room 4965)

XX SIGBIU (Room 4371)

ALL FBI INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED
DATE 02-14-2011 BY 60324UCBAW/SB/CNW

From: The White House

☐ EOP Security Office

XX White House Counsel's Office

79775

Subject's full name Richard Charles Albert Holbrooke

Other names used (including birth, prior married, and nicknames) _____

Social Security Number 132-32-3096 Date of birth 04/24/41 Place of birth Scarsdale, NY

Permanent address

(also current residence, if different) 211 Central Park West, NY, NY 10024Current employer(s) Credit Suisse First Boston

SUBJECT'S CONSENT: I hereby authorize the FBI to provide the information specified below to the White House.

[Signature]
(Subject's Signature)4/15/95
(Date)b6
b7c

Request of FBI (Use of this form to request information developed by the FBI or contained in FBI files requires the subject's consent. Exceptions will only be permitted as authorized by the Attorney General/Deputy Attorney General.)

- ☐ Name check (EADSU) ☐ Copy of previous report (EADSU)
☐ Expanded name check (SIGBIU)
☒ Full field investigation (SIGBIU) ☐ Level 1 ☒ Level 2 ☐ Level 3
☐ 5-year reinvestigation (SIGBIU) ☐ Level 2 ☐ Level 3
☐ Limited update investigation (SIGBIU)
☐ Other (specify) _____

The applicant is being considered for:

- ☐ Presidential appointment ☒ Position requiring Senate confirmation
☐ White House staff position
☐ Access: ☐ Detailee/other government employee ☐ Contractor ☐ Intern ☐ Volunteer
☐ Presidential recognition
☐ Other (specify) 161A-410-1256328-2

Attachments: ☒ SF-86 ☒ SF-86 Supplement ☐ SF-87 Fingerprint Card

Remarks/

special instructions: _____

I certify, subject to 18 U.S.C. § 1001, that the above is sought for official purposes only and I understand that obtaining this information under false pretenses of Act, 5 U.S.C. § 552a.

Requested by

This request has been reviewed and approved by the White House Counsel's Office

Approved by

[Signature]
(White House Counsel's Office)

- 1 - Original - To FBI
 2 - Copy - To FBI (Return to White House)
 3 - Mail - To FBI (Office of the General Counsel)
 4 - Copy - White House Originating Copy

161A-

161-4612

OPM REQUESTED DATE 7/2/98

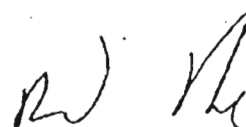
THE WHITE HOUSE
WASHINGTON

PRIVACY ACT PROTECTED INFORMATION
(When Completed)

Disclosure and Authorization
Pertaining to Consumer Reports
Pursuant to the Fair Credit Reporting Act

This is a release for the Federal Bureau of Investigation and/or the Office of Counsel to the President, acting on the President's behalf, to obtain one or more consumer/credit reports about you in connection with consideration of your appointment to a position within the Executive Branch, or in the course of your employment with the Federal Government. One or more reports about you may be obtained for employment purposes, including evaluating your fitness for employment, promotion, reassignment, retention, or access to classified information.

I, Richard Halbrooke, hereby authorize the Federal Bureau of Investigation and/or the Office of Counsel to the President, acting on the President's behalf, to obtain such reports from any consumer/credit reporting agency for employment purposes.


Signature

June 15, 1998
Date

132-32-3096
Social Security Number

QUESTIONNAIRE FOR
NATIONAL SECURITY POSITIONS

Form approved:
O.M.B. No. 3206-0007
NSN 7540-00-634-4036
86-111

Part 1

Investigating Agency Use Only

Code

Case Number

Agency Use Only (Complete Items A through P using instructions provided by the investigating agency).

A Type of Investigation	B Extra Coverage	C Sensitivity Level	D Access	E Nature of Action Code	F Date of Action	Month	Day	Year
G Geographic Location	H Position Code	I Position Title	ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED DATE 02-14-2011 BY 60324UCBAW/SB/CMW					
J SON	K Location of Official Personnel Folder	L None NPAC At SON	Other Address					
L SOL	M Location of Security Folder	N None At Sol NPI	Other Address					
N OPAC-ALC Number	O Accounting Data and/or Agency Case Number							
P Requesting Official	Name and Title		Signature		Telephone Number		Date	

Persons completing this form should begin with the questions below.

1 FULL NAME • If you have only initials in your name, use them and state (IO). • If you have no middle name, enter "NMN." Last Name: <u>Holbrooke</u> First Name: <u>Richard</u> Middle Name: <u>Charles Albert</u> Jr., II, etc.: Month: <u>04</u> Day: <u>24</u> Year: <u>41</u>	2 DATE OF BIRTH
3 PLACE OF BIRTH • Use the two letter code for the State. City: <u>New York</u> County: State: <u>NY</u> Country (if not in the United States): 132-32-3096	4 SOCIAL SECURITY NUMBER

5 OTHER NAMES USED Give other names you used and the period of time you used them (for example: your maiden name, name(s) by a former marriage, former name(s), aliases, or nickname(s)). If the other name is your maiden name, put "nee" in front of it.	Month/Year Month/Year To	Month/Year Month/Year To
#1 Name	To	To
#2 Name	To	To
#3 Name	To	To
#4 Name	To	To

6 OTHER IDENTIFYING INFORMATION	Height (feet and inches) <u>6'1"</u>	Weight (pounds) <u>205</u>	Hair Color <u>Brown</u>	Eye Color <u>Blue</u>	Sex (mark one box) ☐ Female ☒ Male
---------------------------------	---	-------------------------------	----------------------------	--------------------------	--

7 TELEPHONE NUMBERS	Work (include Area Code and extension) (X) Day (212) 325-4441 () Night	Home (include Area Code) () Day (X) Night (212) 496-1106
---------------------	---	---

8 CITIZENSHIP Mark the box at the right that reflects your current citizenship status, and follow its instructions.	☒ I am a U.S. citizen or national by birth in the U.S. or U.S. territory/possession. Answer Items b and d ☐ I am a U.S. citizen, but I was NOT born in the U.S. Answer Items b, c, and d ☐ I am not a U.S. citizen. Answer Items b and e	9 Your Mother's Maiden Name <u>Trudi Moos</u>
--	--	--

C UNITED STATES CITIZENSHIP If you are a U.S. Citizen, but were not born in the U.S., provide information about one or more of the following proofs of your citizenship.

Naturalization Certificate (Where were you naturalized?)

Court	City	State	Certificate Number	Month/Day/Year issued
-------	------	-------	--------------------	-----------------------

Citizenship Certificate (Where was the certificate issued?)

City	State	Certificate Number	Month/Day/Year issued
------	-------	--------------------	-----------------------

State Department Form 240 - Report of Birth Abroad of a Citizen of the United States

Give the date the form was prepared and give an explanation if needed.	Month/Day/Year	Explanation
--	----------------	-------------

U.S. Passport

This may be either a current or previous U.S. Passport.	Passport Number	Month/Day/Year issued
---	-----------------	-----------------------

D DUAL CITIZENSHIP If you are (or were) a dual citizen of the United States and another country, provide the name of that country in the space to the right.

E ALIEN If you are an alien, provide the following information:	City	State	Date You Entered U.S. Month Day Year	Alien Registration Number	Country(ies) of Citizenship
Place You Entered the United States:					

9 WHERE YOU HAVE LIVED

List the places where you have lived, beginning with the most recent (#1) and working back 7 years. All periods must be accounted for in your list. Be sure to indicate the actual physical location of your residence: do not use a post office box as an address, do not list a permanent address when you were actually living at a school address, etc. Be sure to specify your location as closely as possible: for example, do not list only your base or ship, list your barracks number or home port. You may omit temporary military duty locations under 90 days (list your permanent address instead), and you should use your APO/FPO address if you lived overseas.

For any address in the last 5 years, list a person who knew you at that address, and who preferably still lives in that area (do not list people for residences completely outside this 5-year period, and do not list your spouse, former spouses, or other relatives). Also for addresses in the last five years, if the address is "General Delivery," a Rural or Star Route, or may be difficult to locate, provide directions for locating the residence on an attached continuation sheet.

Month/Year	Month/Year	Street Address	Apt. #	City (Country)	State	ZIP Code	Telephone Number
#1	2/96 To Present	211 Central Park West	8-G	New York	NY	10024	
					NY	10021	
#2	08/94 To 2/96	1527 35th St. NW		Washington	DC	20007	
				Washington	DC	20008	
#3	9/93 To 8/94	Embassy of USA Residence-		Bonn Germany			
		Dept of Treasury		Washington	DC	20220	
#4	8/88 To 9/93	213 E. 71st St.	5	New York	NY	10021	
					NY		
#5	1981 To 1988	1215 29th St. NW		Washington	DC	20016	
				Washington	DC	20008	

10 WHERE YOU WENT TO SCHOOL

List the schools you have attended, beyond Junior High School, beginning with the most recent (#1) and working back 7 years. List College or University degrees and the dates they were received. If all of your education occurred more than 7 years ago, list your most recent education beyond high school, no matter when that education occurred.

- Use one of the following codes in the "Code" block:

1 - High School

2 - College/University/Military College

3 - Vocational/Technical/Trade School

- For schools you attended in the past 3 years, list a person who knew you at school (an instructor, student, etc.). Do not list people for education completely outside this 3-year period.
- For correspondence schools and extension classes, provide the address where the records are maintained.

Month/Year	Month/Year	Code	Name of School	Degree/Diploma/Other	Month/Year Awarded
#1	1969 To 1970	3	Princeton University (Woodrow Wilson)	Visiting Fellow No degree	
Street Address and City (Country) of School				State	ZIP Code
Princeton				NJ	
Name of Person Who Knew You				City (Country)	State ZIP Code Telephone Number
				Washington	DC 20008
#2	1958 To 1962	2	Brown University	B.A.	6/62
Street Address and City (Country) of School				State	ZIP Code
Providence				RI	02912
Name of Person Who Knew You				City (Country)	State ZIP Code Telephone Number
				PA	18104
#3	1955 To 1958	1	Scarsdale H.S.		
Street Address and City (Country) of School				State	ZIP Code
Post Road, Scarsdale				NY	10583
Name of Person Who Knew You				City (Country)	State ZIP Code Telephone Number
David Rusk				Washington	DC 20016 202) 364-2455

Enter your Social Security Number before going to the next page

→ 132-32-3096

11 YOUR EMPLOYMENT ACTIVITIES

List your employment activities, beginning with the present (#1) and working back 7 years. You should list all full-time work, part-time work, military service, temporary military duty locations over 90 days, self-employment, other paid work, and all periods of unemployment. The entire 7-year period must be accounted for without breaks, but you need not list employments before your 16th birthday. EXCEPTION: Show all Federal civilian service, whether it occurred within the last 7 years or not.

• Code. Use one of the codes listed below to identify the type of employment:

- | | | | |
|-----------------------------------|--|--|-----------|
| 1 - Active military duty stations | 5 - State Government (Non-Federal employment) | 7 - Unemployment (Include name of person who can verify) | 9 - Other |
| 2 - National Guard/Reserve | 6 - Self-employment (Include business name and/or name of person who can verify) | 8 - Federal Contractor (List Contractor, not Federal agency) | |
| 3 - U.S.P.H.S. Commissioned Corps | | | |
| 4 - Other Federal employment | | | |

• Employer/Verifier Name. List the business name of your employer or the name of the person who can verify your self-employment or unemployment in this block. If military service is being listed, include your duty location or home port here as well as your branch of service. You should provide separate listings to reflect changes in your military duty locations or home ports.

• Previous Periods of Activity. Complete these lines if you worked for an employer on more than one occasion at the same location. After entering the most recent period of employment in the initial numbered block, provide previous periods of employment at the same location on the additional lines provided. For example, if you worked at XY Plumbing in Denver, CO, during 3 separate periods of time, you would enter dates and information concerning the most recent period of employment first, and provide dates, position titles, and supervisors for the two previous periods of employment on the lines below that information.

Month/Year	Month/Year	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank		
#1	2/98	Present	9 Credit Suisse First Boston	Vice Chairman		
Employer's/Verifier's Street Address			City (Country)	State	ZIP Code	Telephone Number
Eleven Madison Avenue			New York	NY	10010	(212) 325-444
Street Address of Job Location (if different than Employer's Address)			City (Country)	State	ZIP Code	Telephone Number
						() 325-4441
Supervisor's Name & Street Address (if different than Job Location)			City (Country)	State	ZIP Code	Telephone Number

b6
b7C

PREVIOUS PERIODS OF ACTIVITY (Block #1)	Month/Year	Month/Year	Position Title	Supervisor
	To			
	Month/Year	Month/Year	Position Title	Supervisor
	To			
	Month/Year	Month/Year	Position Title	Supervisor
To				

Month/Year	Month/Year	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank		
#2	8/94	To 2/96	4 Department of State	Asst. Secretary of State European + Canadian Affairs		
Employer's/Verifier's Street Address			City (Country)	State	ZIP Code	Telephone Number
2201 C St. NW			Washington	DC	20520	(202) 647-962
Street Address of Job Location (if different than Employer's Address)			City (Country)	State	ZIP Code	Telephone Number
						() 647-9626
Supervisor's Name & Street Address (if different than Job Location)			City (Country)	State	ZIP Code	Telephone Number
Warren Christopher, Secretary of State			Los Angeles	CA		(310) 246 675

PREVIOUS PERIODS OF ACTIVITY (Block #2)	Month/Year	Month/Year	Position Title	Supervisor
	To			
	Month/Year	Month/Year	Position Title	Supervisor
	To			
	Month/Year	Month/Year	Position Title	Supervisor
To				

Month/Year	Month/Year	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank		
#3	9/93	To 8/94	4	US Ambassador to Germany		
Employer's/Verifier's Street Address			City (Country)	State	ZIP Code	Telephone Number
US Embassy			Bonn Germany			()
Street Address of Job Location (if different than Employer's Address)			City (Country)	State	ZIP Code	Telephone Number
						()
Supervisor's Name & Street Address (if different than Job Location)			City (Country)	State	ZIP Code	Telephone Number
Warren Christopher			Los Angeles	CA		(310) 246-67

PREVIOUS PERIODS OF ACTIVITY (Block #3)	Month/Year	Month/Year	Position Title	Supervisor
	To			
	Month/Year	Month/Year	Position Title	Supervisor
	To			
	Month/Year	Month/Year	Position Title	Supervisor
To				

Enter your Social Security Number before going to the next page

→ 132-32-3096

Month/Year	Month/Year	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank		
#4	4/85 To 9/93	9	Lehman Brothers Inc.	Managing Director		
Employer's/Verifier's Street Address			City (Country)	State	ZIP Code	Telephone Number
200 Vesey Street			New York	NY	10285	
Street Address of Job Location (if different than Employer's Address)			City (Country)	State	ZIP Code	Telephone Number ()
Supervisor's Name & Street Address (if different than Job Location)			City (Country)	State	ZIP Code	Telephone Number
			New York	NY		
Month/Year	Month/Year	Position Title	Supervisor			

b6
b7C

Month Year
: concurrently

Month/Year #5 3/81 to 4/85	Month/Year 9	Code Public Strategies (no longer exists)	Employer/Verifier Name/Military Duty Location Vice President	Your Position Title/Military Rank			
Employer's/Verifier's Street Address 2550 M St. NW		City (Country) Washington	State DC	ZIP Code 20037	Telephone Number ()		
Street Address of Job Location (if different than Employer's Address)		City (Country)	State	ZIP Code	Telephone Number ()		
Dwight D. Eisenhower Library		City (Country) Washington	State DC	ZIP Code 20016	Telephone Number		

PREVIOUS PERIODS
OF ACTIVITY (BLOCKS)

Month/Year Month/Year To	Position Title	Supervisor
Month/Year Month/Year To	Position Title	Supervisor
Month/Year Month/Year To	Position Title	Supervisor

Month/Year #6 1/77	Month/Year To 1/81	Code 4	Employer/Verifier Name/Military Duty Location Department of State	Your Position Title/Military Rank Asst. Secretary of State East Asian + Pacific Affairs		
Employer's/Verifier's Street Address 2201 C St. NW			City (Country) Washington	State DC	ZIP Code 205 20	Telephone Number (202) 647 9596
Street Address of Job Location (if different than Employer's Address)			City (Country)	State	ZIP Code	Telephone Number ()
Supervisor's Name & Street Address (if different than Job Location) Cyrus R. Vance, Secretary			City (Country) New York	State NY	ZIP Code	Telephone Number (212) 427-2040

PREVIOUS PERIODS
OF ACTIVITY (Block #s)

Month/Year Month/Year To	Position Title	Supervisor
Month/Year Month/Year To	Position Title	Supervisor
Month/Year Month/Year To	Position Title	Supervisor

12 PEOPLE WHO KNOW YOU WELL

List three people who know you well and live in the United States. They should be good friends, peers, colleagues, college roommates, etc., whose combined association with you covers as well as possible the last 7 years. Do not list your spouse, former spouses, or other relatives, and try not to list anyone who is listed elsewhere on this form.

[Redacted]		Dates Known Month/Year 1977 to present		[Redacted]	
Home or Work Address		City (Country)		State	ZIP Code
Dept. of State		Washington		DC	20520
#1	Name	Dates Known Month/Year 1979 to present		Telephone Number () Day [Redacted] () Night [Redacted]	
Home [Redacted]		City (Country)		State	ZIP Code
O'Melveney + Myers		Washington		DC	
#2	Name	Dates Known Month/Year 1977 to present		Telephone Number () Day [Redacted] () Night [Redacted]	
Home or Work Address		City (Country)		State	ZIP Code
Carlyle Group		Washington		DC	

Enter your Social Security Number before going to the next page

132-32-3096

13 YOUR SPOUSE

Mark one box to show your current marital status and provide information about your spouse(s) in items a. and/or b.

☐ 1 - Never married
☒ 2 - Married

☐ 3 - Separated
☐ 4 - Legally Separated

☐ 5 - Divorced
☐ 6 - Widowed
a Current Spouse Complete the following about your current spouse only.

Full Name _____ Date of Birth _____ Place of Birth (include country if outside the U.S.) _____ Social Security Number _____

Other Names Used (Specify maiden name, names by other marriages, etc., and show dates used for each name)

Country(ies) of Citizenship
USA

Date Married _____ Place Married (include country if outside the U.S.) _____ State _____

If Separated, Date of Separation _____

If Legally Separated, Where is the Record Located? City (Country) _____ State _____

Address of Current Spouse, (if different than your current address. (Street, city, and country if outside the U.S.) _____ State _____ ZIP Code _____

b Former Spouse(s) Complete the following about your former spouse(s), use blank sheets if needed.

Country(ies) of Citizenship _____ If outside the U.S. _____ State _____

Country(ies) of Citizenship _____ If outside the U.S. _____ State _____

USA

Check One, Then Give Date

☒ Divorced ☐ Widowed

Month/Day/Year _____

If Divorced, Where is the Record Located? City (Country) _____ State _____

District of Columbia

Address of Former Spouse (Street, city, and country if outside the U.S.) _____ State _____ ZIP Code _____ Telephone Number _____

14 YOUR RELATIVES AND ASSOCIATES

Give the full name, correct code, and other requested information for each of your relatives and associates, living or dead, specified below.

- | | | | | |
|---------------------|--------------------------|-------------------|--------------------|--------------------------------------|
| 1 - Mother (first) | 5 - Foster parent | 9 - Sister | 13 - Half-sister | 17 - Other Relative* |
| 2 - Father (second) | 6 - Child (adopted also) | 10 - Stepbrother | 14 - Father-in-law | 18 - Associate* |
| 3 - Stepmother | 7 - Stepchild | 11 - Stepsister | 15 - Mother-in-law | 19 - Adult Currently Living With You |
| 4 - Stepfather | 8 - Brother | 12 - Half-brother | 16 - Guardian | |

* Code 17 (Other Relative) - Include only foreign national relatives not listed in 1-16 with whom you or your spouse are bound by affection, obligation, or close and continuing contact. Code 18 (Associate) - Include only foreign national associates with whom you or your spouse are bound by affection, obligation, or close and continuing contact.

Full Name (if deceased, check box on the left before entering name)	Code	Date of Birth Month/Day/Year	Country of Birth	Country(ies) of Citizenship	Current Street Address and City (country) of Living Relative	State
☐ Trudi (Holbrooke) Kearl	1	9/15/20	Germany	USA	344 Sprain Rd. Scarsdale, NY 10583	NY
☒ Dan Holbrooke	2	9/30/14	Russia	USA		
☐ Stanley Kearl	4	12/22/13	USA	USA	344 Sprain Rd. Scarsdale	N

NY

NY

NY

Y

NY

N

MI

13. (cont'd.)

** Former spouse

DOB
Do Not remember

POB

Country of Citizenship Date Married

USA

Place
NY, NY

Divorced

Date

Place
D.C.

b6
b7C

15 CITIZENSHIP OF YOUR RELATIVES AND ASSOCIATES

If your mother, father, sister, brother, child, or current spouse or person with whom you have a spouse-like relationship is a U.S. citizen by other than birth, or an alien residing in the U.S., provide the nature of the individual's relationship to you (Spouse, Spouse-like, Mother, etc.), and the individual's name and date of birth on the first line (this information is needed to pair it accurately with information in items 13 and 14).

On the second line, provide the individual's naturalization certificate or alien registration number and use one of the document codes below to identify proof of citizenship status. Provide additional information on that line as requested.

1. **Naturalization Certificate:** Provide the date issued and the location where the person was naturalized (Court, City and State).
2. **Citizenship Certificate:** Provide the date and location issued (City and State).

3. **Alien Registration:** Provide the date and place where the person entered the U.S. (City and State).
4. **Other:** Provide an explanation in the "Additional Information" block.

#1 Association	Name	Date of Birth (Month/Day/Year)
Certificate/Registration #	Document Code	Additional Information
#2 Association	Name	Date of Birth (Month/Day/Year)
Certificate/Registration #	Document Code	Additional Information

16 YOUR MILITARY HISTORY

a Have you served in the United States military?

Yes	No
	X
	X

b Have you served in the United States Merchant Marine?

List all of your military service below, including service in Reserve, National Guard, and U.S. Merchant Marine. Start with the most recent period of service (#1) and work backward. If you had a break in service, each separate period should be listed.

- **Code.** Use one of the codes listed below to identify your branch of service:

1 - Air Force 2 - Army 3 - Navy 4 - Marine Corps 5 - Coast Guard 6 - Merchant Marine 7 - National Guard

- **O/E.** Mark "O" block for Officer or "E" block for Enlisted.

- **Status.** "X" the appropriate block for the status of your service during the time that you served. If your service was in the National Guard, do not use an "X"; use the two-letter code for the state to mark the block.

- **Country.** If your service was with other than the U.S. Armed Forces, identify the country for which you served.

Month/Year	Month/Year	Code	Service/Certificate #	O	E	Active	Active Reserve	Inactive Reserve	National Guard (State)	Country
To										
To										

17 YOUR FOREIGN ACTIVITIES

a Do you have any foreign property, business connections, or financial interests?

b Are you now or have you ever been employed by or acted as a consultant for a foreign government, firm, or agency?

c Have you ever had any contact with a foreign government, its establishments (embassies or consulates), or its representatives, whether inside or outside the U.S., other than on official U.S. Government business? (Does not include routine visa applications and border crossing contacts.)

d In the last 7 years, have you had an active passport that was issued by a foreign government?

Yes	No
	X
X	
	X

If you answered "Yes" to a, b, c, or d above, explain in the space below: provide inclusive dates, names of firms and/or governments involved, and an explanation of your involvement.

Month/Year	Month/Year	Firm and/or Government	Explanation
To		See attached Sheet	
To			

18 FOREIGN COUNTRIES YOU HAVE VISITED

List foreign countries you have visited, except on travel under official Government orders, beginning with the most current (#1) and working back 7 years. (Travel as a dependent or contractor must be listed.)

- Use one of these codes to indicate the purpose of your visit:

1 - Business 2 - Pleasure 3 - Education 4 - Other

- Include short trips to Canada or Mexico. If you have lived near a border and have made short (one day or less) trips to the neighboring country, you do not need to list each trip. Instead, provide the time period, the code, the country, and a note ("Many Short Trips").

- Do not repeat travel covered in items 9, 10, or 11.

Month/Year	Month/Year	Code	Country	Month/Year	Month/Year	Code	Country
#1 To			See Attached Sheet	#3 To			
#2 To				#4 To			

This concludes Part 1 of this form. If you have used Page 9, continuation sheets, or blank sheets to complete any of the questions in Part 1, give the number for those questions in the space to the right:

Enter your Social Security Number before going to the next page

→ 1132-32-3096

17. I have no formal relationships with any foreign entities, but I have made client calls on behalf of Credit Suisse First Boston in Europe and East Asia. I am not currently involved in any ongoing business relationships overseas for Credit Suisse First Boston.
18. I have called on government officials on behalf of Credit Suisse First Boston and, between 1981 and 1993 on behalf of Lehman Brothers. These calls included government officials of most of the governments of East Asia including Japan, China, Philippines, Korea, Hong Kong, Singapore, Thailand and Indonesia. Similarly, in Europe I have made calls on government officials on behalf of my firm in Germany, Romania, Estonia, Latvia, Lithuania, Sweden, Hungary, and Kazakstan.

Standard Form 86
Revised September 1995
U.S. Office of Personnel Management
5 CFR Parts 731, 732, and 736

QUESTIONNAIRE FOR NATIONAL SECURITY POSITIONS

Form approved:
O.M.B. No. 3206-0007
NSN 7540-00-634-4036
86-111

Part 2

OFFICIAL
USE
ONLY

19 YOUR MILITARY RECORD

Have you ever received other than an honorable discharge from the military? If "Yes," provide the date of discharge and type of discharge below.

Yes	No
	X

Month/Year

Type of Discharge

20 YOUR SELECTIVE SERVICE RECORD

a Are you a male born after December 31, 1959? If "No," go to 21. If "Yes," go to b.

b Have you registered with the Selective Service System? If "Yes," provide your registration number. If "No," show the reason for your legal exemption below.

Yes	No
	X

Registration Number

Legal Exemption Explanation

21 YOUR MEDICAL RECORD

In the last 7 years, have you consulted with a mental health professional (psychiatrist, psychologist, counselor, etc.) or have you consulted with another health care provider about a mental health related condition?

Yes	No
	X

If you answered "Yes," provide the dates of treatment and the name and address of the therapist or doctor below, unless the consultation(s) involved only marital, family, or grief counseling, not related to violence by you.

Month/Year	Month/Year	Name/Address of Therapist or Doctor	State	ZIP Code
To				
To				

22 YOUR EMPLOYMENT RECORD

Has any of the following happened to you in the last 7 years? If "Yes," begin with the most recent occurrence and go backward, providing date fired, quit, or left, and other information requested.

Yes	No
	X

Use the following codes and explain the reason your employment was ended:

1 - Fired from a job

3 - Left a job by mutual agreement following allegations of misconduct

5 - Left a job for other reasons

2 - Quit a job after being told

4 - Left a job by mutual agreement following allegations of

under unfavorable circumstances

you'd be fired

unsatisfactory performance

Month/Year	Code	Specify Reason	Employer's Name and Address (Include city/Country if outside U.S.)	State	ZIP Code

23 YOUR POLICE RECORD

For this item, report information regardless of whether the record in your case has been "sealed" or otherwise stricken from the court record. The single exception to this requirement is for certain convictions under the Federal Controlled Substances Act for which the court issued an expungement order under the authority of 21 U.S.C. 844 or 18 U.S.C. 3607.

Yes	No
	X
	X
	X
	X
	X
	X

a Have you ever been charged with or convicted of any felony offense? (Include those under Uniform Code of Military Justice)

b Have you ever been charged with or convicted of a firearms or explosives offense?

c Are there currently any charges pending against you for any criminal offense?

d Have you ever been charged with or convicted of any offense(s) related to alcohol or drugs?

e In the last 7 years, have you been subject to court martial or other disciplinary proceedings under the Uniform Code of Military Justice? (Include non-judicial, Captain's mast, etc.)

f In the last 7 years, have you been arrested for, charged with, or convicted of any offense(s) not listed in response to a, b, c, d, or e above? (Leave out traffic fines of less than \$150 unless the violation was alcohol or drug related.)

If you answered "Yes" to a, b, c, d, e, or f above, explain below. Under "Offense," do not list specific penalty codes, list the actual offense or violation (for example, arson, theft, etc.).

Month/Year	Offense	Action Taken	Law Enforcement Authority/Court (Include City and county/country if outside U.S.)	State	ZIP Code

Enter your Social Security Number before going to the next page

→ 132-32-3096

24 YOUR USE OF ILLEGAL DRUGS AND DRUG ACTIVITY

The following questions pertain to the illegal use of drugs or drug activity. You are required to answer the questions fully and truthfully, and your failure to do so could be grounds for an adverse employment decision or action against you, but neither your truthful responses nor information derived from your responses will be used as evidence against you in any subsequent criminal proceeding.

- a** Since the age of 16 or in the last 7 years, whichever is shorter, have you illegally used any controlled substance, for example, marijuana, cocaine, crack cocaine, hashish, narcotics (opium, morphine, codeine, heroin, etc.), amphetamines, depressants (barbiturates, methaqualone, tranquilizers, etc.), hallucinogenics (LSD, PCP, etc.), or prescription drugs?
- b** Have you ever illegally used a controlled substance while employed as a law enforcement officer, prosecutor, or courtroom official; while possessing a security clearance; or while in a position directly and immediately affecting the public safety?
- c** In the last 7 years, have you been involved in the illegal purchase, manufacture, trafficking, production, transfer, shipping, receiving, or sale of any narcotic, depressant, stimulant, hallucinogen, or cannabis for your own intended profit or that of another?

Yes	No
	X
	X
	X

If you answered "Yes" to a or b above, provide the date(s), identify the controlled substance(s) and/or prescription drugs used, and the number of times each was used.

Month/Year To	Month/Year To	Controlled Substance/Prescription Drug Used	Number of Times Used

25 YOUR USE OF ALCOHOL

In the last 7 years, has your use of alcoholic beverages (such as liquor, beer, wine) resulted in any alcohol-related treatment or counseling (such as for alcohol abuse or alcoholism)?

Yes	No
	X

If you answered "Yes", provide the dates of treatment and the name and address of the counselor or doctor below. Do not repeat information reported in response to item 21 above.

Month/Year To	Month/Year To	Name/Address of Counselor or Doctor	State	ZIP Code

26 YOUR INVESTIGATIONS RECORD

- a** Has the United States Government ever investigated your background and/or granted you a security clearance? If "Yes," use the codes that follow to provide the requested information below. If "Yes," but you can't recall the investigating agency and/or the security clearance received, enter "Other" agency code or clearance code, as appropriate, and "Don't know" or "Don't recall" under the "Other Agency" heading, below. If your response is "No," or you don't know or can't recall if you were investigated and cleared, check the "No" box.

Yes	No
X	

Codes for Investigating Agency

- 1 - Defense Department
2 - State Department
3 - Office of Personnel Management

- 4 - FBI
5 - Treasury Department
6 - Other (Specify)

Codes for Security Clearance Received

- 0 - Not Required
1 - Confidential
2 - Secret
3 - Top Secret
4 - Sensitive Compartmented Information
5 - O

- 6 - L
7 - Other

Month/Year	Agency Code	Other Agency	Clearance Code	Month/Year	Agency Code	Other Agency	Clearance Code
1993	1		3	1962	2		3
1977	2		3+4				

- b** To your knowledge, have you ever had a clearance or access authorization denied, suspended, or revoked, or have you ever been debarrred from government employment? If "Yes," give date of action and agency. Note: An administrative downgrade or termination of a security clearance is not a revocation.

Yes	No
	X

Month/Year	Department or Agency Taking Action	Month/Year	Department or Agency Taking Action

27 YOUR FINANCIAL RECORD

- a** In the last 7 years, have you filed a petition under any chapter of the bankruptcy code (to include Chapter 13)?
- b** In the last 7 years, have you had your wages garnished or had any property repossessed for any reason?
- c** In the last 7 years, have you had a lien placed against your property for failing to pay taxes or other debts?
- d** In the last 7 years, have you had any judgments against you that have not been paid?

Yes	No
	X
	X
	X

If you answered "Yes" to a, b, c, or d, provide the information requested below:

Month/Year	Type of Action	Amount	Name Action Occurred Under	Name/Address of Court or Agency Handling Case	State	ZIP Code

Enter your Social Security Number before going to the next page

→ 132-32-3096

2000

If you answered "Yes" to a or b, provide the information requested below.

If you answered "Yes," provide the information about the public record civil court action requested below.

If you answered "Yes" to a or b, explain in the space below.

Use the continuation sheet(s) (SF 88A) for additional answers to items 8, 10, and 11. Use the space below to continue answers to all other items and any information you would like to add. If more space is needed than is provided below, use a blank sheet(s) as paper. Start each sheet with your name and Social Security Number. Before each answer, identify the number of the item.

132-32-3096

FROM : HYATT REGENCY BELGRADE

FAX : 381 11 311 3623

Jun. 24 1998 09:20PM P3

STANDARD FORM 88

Standard Form 88

Revised 6019 Nov 90

U.S. Office of Personnel Management

5 CFR Parts 731, 732 and 736

ALL INFORMATION CONTAINED

HEREIN IS UNCLASSIFIED

DATE 10-13-2011 BY 60324 uc baw/sab/rs

Form approved:

OMB No. 3208-0037

NSN 7540-00-014-4038

04-111

UNITED STATES OF AMERICA

AUTHORIZATION FOR RELEASE OF INFORMATION

Carefully read this authorization to release information about you, then sign and date it in ink.

I authorize any investigator, special agent, or other duly accredited representative of the authorized Federal agency conducting my background investigation, to obtain any information relating to my activities from individuals, schools, residential management agents, employers, criminal justice agencies, credit bureaus, consumer reporting agencies, collection agencies, retail business establishments, or other sources of information. This information may include, but is not limited to, my academic, residential, achievement, performance, attendance, disciplinary, employment history, criminal history record information, and financial and credit information. I authorize the Federal agency conducting my investigation to disclose the record of my background investigation to the requesting agency for the purpose of making a determination of suitability or eligibility for a security clearance.

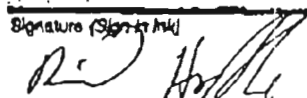
I understand that, for financial or lending institutions, medical institutions, hospitals, health care professionals, and other sources of information, a separate specific release will be needed, and I may be contacted for such a release at a later date. Where a separate release is requested for information relating to mental health treatment or counseling, the release will contain a list of the specific questions, relevant to the job description, which the doctor or therapist will be asked.

I further authorize any investigator, special agent, or other duly accredited representative of the U.S. Office of Personnel Management, the Federal Bureau of Investigation, the Department of Defense, the Defense Investigative Service, and any other authorized Federal agency, to request criminal record information about me from criminal justice agencies for the purpose of determining my eligibility for access to classified information and/or for assignment to, or retention in, a sensitive National Security position, in accordance with 5 U.S.C. 9101. I understand that I may request a copy of such records as may be available to me under the law.

I authorize custodians of records and other sources of information pertaining to me to release such information upon request of the investigator, special agent, or other duly accredited representative of any Federal agency authorized above regardless of any previous agreement to the contrary.

I understand that the information released by records custodians and sources of information is for official use by the Federal Government only for the purposes provided in this Standard Form 88, and that it may be redisclosed by the Government only as authorized by law.

Copies of this authorization that show my signature are as valid as the original release signed by me. This authorization is valid for five (5) years from the date signed or upon the termination of my affiliation with the Federal Government, whichever is sooner. Read, sign and date the release on the next page if you answered "Yes" to question 21.

Signature (Sign in Ink)		Full Name (Type or Print Legibly)		Date Signed	
		Richard Charles Albert Holbrook		06/24/98	
Other Names Used				Social Security Number	
				132 - 32 - 3096	
Current Address (Street City)			State	Zip Code	Home Telephone Number (Include Area Code)
211 Central Park West, 8-G, New York			NY	10024	(212) 496-1106

07/02/98 THU 08:53 FAA

FROM : HYATT REGENCY BELGRADE LIMITE PHONE NO. : 381 11 311 3623

Jun. 24 1998 09:21 PM '98

Standard Form 86
Revised September 1995
U.S. Office of Personnel Management
5 CFR Parts 731, 732, and 736

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED
DATE 02-14-2011 BY 60324UCBAW/SB/CNW

FORM APPROVED
O M E, Inc. 3209-0007
NSN 7540-00-874-4036
86-111

UNITED STATES OF AMERICA

AUTHORIZATION FOR RELEASE OF MEDICAL INFORMATION

Carefully read this authorization to release information about you, then sign and date it in ink.

Instructions for Completing this Release

This is a release for the investigator to ask your health practitioner(s) the three questions below concerning your mental health consultations. Your signature will allow the practitioner(s) to answer only these questions.

I am seeking assignment to or retention in a position with the Federal government which requires access to classified national security information or special nuclear information or material. As part of the clearance process, I hereby authorize the investigator, special agent, or duly accredited representative of the authorized Federal agency conducting my background investigation, to obtain the following information relating to my mental health consultations:

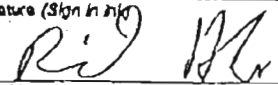
Does the person under investigation have a condition or treatment that could impair his/her judgement or reliability, particularly in the context of safeguarding classified national security information or special nuclear information or material?

If so, please describe the nature of the condition and the extent and duration of the impairment or treatment.

What is the prognosis?

I understand the information released pursuant to this release is for use by the Federal Government only for purposes provided in the Standard Form 86 and that it may be redisclosed by the Government only as authorized by law.

Copies of this authorization that show my signature are as valid as the original release signed by me. This authorization is valid for 1 year from the date signed or upon termination of my affiliation with the Federal Government, whichever is sooner.

Signature (Sign in ink) 	Full Name (Type or Print Legibly) Richard Charles Albert Holbrooke	Date Signed 06/24/98
Other Names Used		Social Security Number 132-32-3096
Current Address (Street, City) 211 Central Park West, 8-G, New York	State NY	ZIP Code 10024
Home Telephone Number (include Area Code) (212) 496-1106		

SUPPLEMENT TO STANDARD FORM 86 (SF-86)
(Attach additional pages if necessary)

- 1S. Please list names of all corporations, firms, partnerships or other business enterprises, and all nonprofit organizations and other institutions with which you are now, or during the past five years have been, affiliated as an officer, owner, director, trustee, partner, advisor, attorney or consultant. In addition, please provide the names of any other organizations with which you were affiliated prior to the past five years that might present a potential conflict or appearance of conflict of interest with your prospective appointment. (Please note that in the case of an attorney's client listing, it is only necessary to provide the names of major clients and those that might present a potential conflict or appearance of conflict of interest with the prospective appointment).

See attached curriculum vitae.

- 2S. Please list all your interests in real property, other than a personal residence, setting forth the nature of your interest, the type of property and the address.

None.

- 3S. Have you or any firm, company or other entity with which you have been associated ever been convicted of a violation of any federal, state, county or municipal law, regulation or ordinance? If so, please provide full details.

No.

- 4S. Have you or any firm, company or other entity with which you have been associated ever been the subject of federal, state or local investigation for possible violation of a criminal statute? If so, please give full details.

No.

- 5S. Have you ever been involved in civil or criminal litigation, or in administrative or legislative proceedings of any kind, either as a plaintiff, defendant, respondent, witness or party in interest? If so, please give full details identifying dates, issues litigated and the location where the civil action is recorded.

No.

161A-HQ-1256328-2

- 6S. Have you ever been disciplined or cited for a breach of ethics or unprofessional conduct by, or been the subject of a complaint to any court, administrative agency, professional association, disciplinary committee, or other professional group? If so, please give full details.

No.

- 7S. Have you ever run for political office, served on a political committee or been identified in a public way with a particular organization, candidate or issue? Have any complaints been lodged against you or your political committee with the Federal Election Commission or state or local election authorities? If so, please describe.

No.

- 8S. Are you currently, or have you ever been, a member or office holder in any club or organization that restricts or restricted membership on the basis of sex, race, color, religion, national origin, age or handicap? If so, provide the name, address and dates of membership for each.

No.

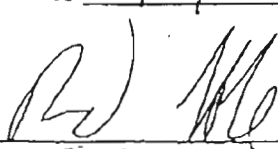
- 9S. Please identify any adults (18 years or older) currently living with you who are not members of your immediate family. Provide the names of those individuals, dates and places of birth, and whether or not they are United States citizens.

None.

- 10S. Is there anything in your personal life that could be used by someone to coerce or blackmail you? Is there anything in your life that could cause an embarrassment to you or to the President if publicly known? If so, please provide full details.

No.

I understand that the information being provided on this supplement to the SF-86 is to be considered part of the original SF-86 dated 06/19/98 and a false statement on this form is punishable by law.


Signature

Memorandum



To : WFO FILE 161A-HQ-1256328

Date 7/23/98

b6
b7C

From : PSS 

Subject: RECORD CHECKS

Attached are records checks which are to be made part of the above listed file. These checks were conducted during the background investigation of HOLBROOKE.

REQUEST FOR INDICES SEARCH

CFR FW
PC

BUDED 7-21-98 WITHOUT FAIL

DATE SENT TO INDICES 7-2-98

APPOINTEE Richard Charles Albert Holbrooke

CASE NUMBER 161A-HQ-NO# AS of yet

NUMBER OF NAMES TO BE SEARCHED 1

SEARCH and REVIEW all names that are underlined.

DO NOT REVIEW 241's, 161's, 116's, 77's and 67's.

<u>DATE SEARCHED</u>	<u>SEARCHED BY</u>	<u>NEG/POS</u>
<u>ELECTRONIC</u> <u>7/9/98</u>		<u>Pos</u>
<u>GENERAL</u> <u>7/9/98</u>		<u>Pos</u>
<u>CFR</u>		

b6
b7C

FORWARD TO FILE REVIEW ANY POSITIVE HITS.

FILES WERE REVIEWED ON 7/10/98 BY

CFR FILES WERE REVIEWED ON _____ BY _____

RETURN ~~RECEIVED~~ TO SQUAD A-1

PSS

SEARCHED _____	INDEXED _____
SERIALIZED _____	FILED _____
JUL 8 1998	
FBI - WASHINGTON FIELD	

9 WHERE YOU HAVE LIVED

List the places where you have lived, beginning with the most recent (#1) and working back 7 years. All periods must be accounted for in your list. Be sure to indicate the actual physical location of your residence: do not use a post office box as an address, do not list a permanent address when you were actually living at a school address, etc. Be sure to specify your location as closely as possible: for example, do not list only your base or ship, list your barracks number or home port. You may omit temporary military duty locations under 90 days (list your permanent address instead), and you should use your APO/FPO address if you lived overseas.

For any address in the last 5 years, list a person who knew you at that address, and who preferably still lives in that area (do not list people for residences completely outside this 5-year period, and do not list your spouse, former spouses, or other relatives). Also for addresses in the last five years, if the address is "General Delivery," a Rural or Star Route, or may be difficult to locate, provide directions for locating the residence on an attached continuation sheet.

Month/Year	Month/Year	Street Address	Apt. #	City (Country)	State	ZIP Code
#1	2/96 To Present	211 Central Park West	8-G	New York	NY	10024
Name of Person Who Knew You		Street Address	Apt. #	City (Country)	State	ZIP Code
					NY	10021
Month/Year	Month/Year	Street Address	Apt. #	City (Country)	State	ZIP Code
#2	08/94 To 2/96	1527 35th St. NW		Washington	DC	20007
Name of Person Who Knew You		Street Address	Apt. #	City (Country)	State	ZIP Code
					DC	20008
Month/Year	Month/Year	Street Address	Apt. #	City (Country)	State	ZIP Code
#3	9/93 To 8/94	Embassy of USA Residence-		Bonn Germany		
Name of Person Who Knew You		Street Address	Apt. #	City (Country)	State	ZIP Code
Month/Year	Month/Year	Street Address	Apt. #	City (Country)	State	ZIP Code
#4	8/88 To 9/93	Dept of Treasury		Washington	DC	20220
Name of Person Who Knew You		Street Address	Apt. #	City (Country)	State	ZIP Code
Month/Year	Month/Year	Street Address	Apt. #	City (Country)	State	ZIP Code
#5	1981 To 1988	213 E. 71st St.	5	New York	NY	10021
Name of Person Who Knew You		Street Address	Apt. #	City (Country)	State	ZIP Code
					NY	
Month/Year	Month/Year	Street Address	Apt. #	City (Country)	State	ZIP Code
#6	1981 To 1988	1215 29th St. NW		Washington	DC	20016
Name of Person Who Knew You		Street Address	Apt. #	City (Country)	State	ZIP Code
					DC	20008

10 WHERE YOU WENT TO SCHOOL

List the schools you have attended, beyond Junior High School, beginning with the most recent (#1) and working back 7 years. List College or University degrees and the dates they were received. If all of your education occurred more than 7 years ago, list your most recent education beyond high school, no matter when that education occurred.

- Use one of the following codes in the "Code" block:

1 - High School

2 - College/University/Military College

3 - Vocational/Technical/Trade School

- For schools you attended in the past 3 years, list a person who knew you at school (an instructor, student, etc.). Do not list people for education completely outside this 3-year period.

- For correspondence schools and extension classes, provide the address where the records are maintained.

Month/Year	Month/Year	Code	Name of School	Degree/Diploma/Other	Month/Year Awarded
#1	1969 To 1970	3	Princeton University (Woodrow Wilson)	Visiting Fellow No degree	
Street Address and City (Country) of School			State	ZIP Code	
Princeton			NJ		
Name of Person Who Knew You			Street Address	Apt. #	City (Country)
					Washington DC
Month/Year	Month/Year	Code	Name of School	Degree/Diploma/Other	Month/Year Awarded
#2	1958 To 1962	2	Brown University	B.A.	6/62
Street Address and City (Country) of School			State	ZIP Code	
Providence			RI	02912	
Name of Person Who Knew You			Street Address	Apt. #	City (Country)
					PA
Month/Year	Month/Year	Code	Name of School	Degree/Diploma/Other	Month/Year Awarded
#3	1955 To 1958	1	Scarsdale H.S.		
Street Address and City (Country) of School			State	ZIP Code	
Post Road, SCarsdale			NY	10583	
Name of Person Who Knew You			Street Address	Apt. #	City (Country)
David Rusk			4100 Cathedral Ave		Washington DC
					20016
					202 364-2455

Enter your Social Security Number before going to the next page

→ 32-32-3096

11 YOUR EMPLOYMENT ACTIVITIES

List your employment activities, beginning with the present (#1) and working back 7 years. You should list all full-time work, part-time work, military service, temporary military duty locations over 90 days, self-employment, other paid work, and all periods of unemployment. The entire 7-year period must be accounted for without breaks, but you need not list employments before your 16th birthday. EXCEPTION: Show all Federal civilian service, whether it occurred within the last 7 years or not.

• **Code.** Use one of the codes listed below to identify the type of employment:

- | | | | |
|-----------------------------------|--|--|-----------|
| 1 - Active military duty stations | 5 - State Government (Non-Federal employment) | 7 - Unemployment (Include name of person who can verify) | 9 - Other |
| 2 - National Guard/Reserve | 6 - Self-employment (Include business name and/or name of person who can verify) | 8 - Federal Contractor (List Contractor, not Federal agency) | |
| 3 - U.S.P.H.S. Commissioned Corps | | | |
| 4 - Other Federal employment | | | |

• **Employer/Verifier Name.** List the business name of your employer or the name of the person who can verify your self-employment or unemployment in this block. If military service is being listed, include your duty location or home port here as well as your branch of service. You should provide separate listings to reflect changes in your military duty locations or home ports.

• **Previous Periods of Activity.** Complete these lines if you worked for an employer on more than one occasion at the same location. After entering the most recent period of employment in the initial numbered block, provide previous periods of employment at the same location on the additional lines provided. For example, if you worked at XY Plumbing in Denver, CO, during 3 separate periods of time, you would enter dates and information concerning the most recent period of employment first, and provide dates, position titles, and supervisors for the two previous periods of employment on the lines below that information.

Month/Year	Month/Year	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank		
#1	2/98	Present	9 Credit Suisse First Boston	Vice Chairman		
Employer's/Verifier's Street Address			City (Country)	State	ZIP Code	Telephone Number
Eleven Madison Avenue			New York	NY	10010	(212) 325-4441
Street Address of Job Location (if different than Employer's Address)			City (Country)	State	ZIP Code	Telephone Number
						() 325-4441
Heretofore Job Location			City (Country)	State	ZIP Code	Telephone Number
PREVIOUS PERIODS OF ACTIVITY (Back #)	To		Supervisor			
	Month/Year	Month/Year	Position Title			
	To		Supervisor			
	Month/Year	Month/Year	Position Title			
To		Supervisor				
#2	8/94	To 2/96	4 Department of State	Asst. Secretary of State European + Canadian Affairs		
Employer's/Verifier's Street Address			City (Country)	State	ZIP Code	Telephone Number
2201 C St. NW			Washington	DC	20520	(202) 647-962
Street Address of Job Location (if different than Employer's Address)			City (Country)	State	ZIP Code	Telephone Number
						() 647-9626
Supervisor's Name & Street Address (if different than Job Location)			City (Country)	State	ZIP Code	Telephone Number
Warren Christopher, Secretary of State			Los Angeles	CA		(310) 246 675
PREVIOUS PERIODS OF ACTIVITY (Back #)	To		Supervisor			
	Month/Year	Month/Year	Position Title			
	To		Supervisor			
	Month/Year	Month/Year	Position Title			
To		Supervisor				
#3	9/93	To 8/94	4 US Embassy	US Ambassador to Germany		
Employer's/Verifier's Street Address			City (Country)	State	ZIP Code	Telephone Number
US Embassy			Bonn Germany			()
Street Address of Job Location (if different than Employer's Address)			City (Country)	State	ZIP Code	Telephone Number
						()
Supervisor's Name & Street Address (if different than Job Location)			City (Country)	State	ZIP Code	Telephone Number
Warren Christopher			Los Angeles	CA		(310) 246-67
PREVIOUS PERIODS OF ACTIVITY (Back #)	To		Supervisor			
	Month/Year	Month/Year	Position Title			
	To		Supervisor			
	Month/Year	Month/Year	Position Title			
To		Supervisor				

Enter your Social Security Number before going to the next page

→ 132-32-3096

YOUR EMPLOYMENT ACTIVITIES (CONTINUED)

Month/Year	Month/Year	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank		
#4	4/85 To 9/93	9	Lehman Brothers Inc.	Managing Director		
Employer's/Verifier's Street Address			City (Country)	State	ZIP Code	Telephone Number
200 Vesey Street			New York	NY	10285	(212) 298-4197
Street Address of Job Location (if different than Employer's Address)			City (Country)	State	ZIP Code	Telephone Number
						()
Supervisor's Name & Street Address (if different than Job Location)			City (Country)	State	ZIP Code	Telephone Number
			New York	NY		
PREVIOUS PERIODS OF ACTIVITY (List 4)	To		Supervisor			
	Month/Year Month/Year		Supervisor			
	To		Supervisor			
	Month/Year Month/Year		Supervisor			
concurrently						
#5	3/81 To 4/85	9	Public Strategies (no longer exists)	Vice President		
Employer's/Verifier's Street Address			City (Country)	State	ZIP Code	Telephone Number
2550 M St. NW			Washington	DC	20037	()
Street Address of Job Location (if different than Employer's Address)			City (Country)	State	ZIP Code	Telephone Number
						()
			City (Country)	State	ZIP Code	Telephone Number
			Washington	DC	20016	
PREVIOUS PERIODS OF ACTIVITY (List 4)	To		Supervisor			
	Month/Year Month/Year		Supervisor			
	To		Supervisor			
	Month/Year Month/Year		Supervisor			
#6	1/77 To 1/81	4	Department of State	Asst. Secretary of State East Asian + Pacific Affairs		
Employer's/Verifier's Street Address			City (Country)	State	ZIP Code	Telephone Number
2201 C St. NW			Washington	DC	20520	(202) 647 9596
Street Address of Job Location (if different than Employer's Address)			City (Country)	State	ZIP Code	Telephone Number
						()
Supervisor's Name & Street Address (if different than Job Location)			City (Country)	State	ZIP Code	Telephone Number
Cyrus R. Vance, Secretary			New York	NY		(212) 427-2040
PREVIOUS PERIODS OF ACTIVITY (List 4)	To		Supervisor			
	Month/Year Month/Year		Supervisor			
	To		Supervisor			
	Month/Year Month/Year		Supervisor			

12 PEOPLE WHO KNOW YOU WELL

List three people who know you well and live in the United States. They should be good friends, peers, colleagues, college roommates, etc., whose combined association with you covers as well as possible the last 7 years. Do not list your spouse, former spouses, or other relatives, and try not to list anyone who is listed elsewhere on this form.

Name	Home or Work Address	City (Country)	State	ZIP Code	Telephone Number
#1		Washington	DC	20520	
#2	O'Melveney + Myers	Washington	DC		
#3	Carlyle Group	Washington	DC		

Enter your Social Security Number before going to the next page

132-32-3096

13 YOUR SPOUSE

Mark one box to show your current marital status and provide information about your spouse(s) in items a. and/or b.

☐ 1 - Never married
☒ 2 - Married☐ 3 - Separated
☐ 4 - Legally Separated☐ 5 - Divorced
☐ 6 - Widowed**a Current Spouse** Complete the following about your current spouse only.

Date of Birth		Place of Birth (include country if outside the U.S.)		Social Security Number	
Other Names Used (Specify maiden name, names by other marriages, etc., and show dates used for each name)					
Country(ies) of Citizenship					USA
Date Married		Place Married (include country if outside the U.S.)			State
If Separated, Date of Separation		If Legally Separated, where was the Record Located? City (Country)			State
Address of Current Spouse, if different than your current address (Street, city, and country if outside the U.S.)					State ZIP Code

b Former Spouse(s) Complete the following about your former spouse(s), use blank sheets if needed.

Full Name		Date of Birth	Place of Birth (include country if outside the U.S.)		State
Country(ies) of Citizenship		If outside the U.S.			State
USA					State
Check One, Then Give Date		Married/Divorced			
☒ Divorced ☐ Widowed		Married/Divorced (Date)			
Address of Former Spouse (Street, city, and country if outside the U.S.)					State ZIP Code Telephone Number

14 YOUR RELATIVES AND ASSOCIATES

Give the full name, correct code, and other requested information for each of your relatives and associates, living or dead, specified below.

- | | | | | |
|---------------------|--------------------------|-------------------|--------------------|--------------------------------------|
| 1 - Mother (first) | 5 - Foster parent | 8 - Sister | 13 - Half-sister | 17 - Other Relative* |
| 2 - Father (second) | 6 - Child (adopted also) | 10 - Stepbrother | 14 - Father-in-law | 18 - Associate* |
| 3 - Stepmother | 7 - Stepchild | 11 - Stepsister | 15 - Mother-in-law | 19 - Adult Currently Living With You |
| 4 - Stepfather | 9 - Brother | 12 - Half-brother | 16 - Guardian | |

* Code 17 (Other Relative) - include only foreign national relatives not listed in 1-16 with whom you or your spouse are bound by affection, obligation, or close and continuing contact. Code 18 (Associate) - include only foreign national associates with whom you or your spouse are bound by affection, obligation, or close and continuing contact.

Full Name (If deceased, check box on the left before entering name)	Code	Date of Birth Month/Day/Year	Country of Birth	Country(ies) of Citizenship	Current Street Address and City (country) of Living Relatives	State
☐ Trudi (Holbrooke) Kearn	1	9/15/20	Germany	NY	344 Sprain Rd. Scarsdale, NY 10583	NY
☒ Dan Holbrooke	2	9/30/14	Russia	USA		
☐ Stanley Kearn	4	12/22/13	USA	NY	344 Sprain Rd. Scarsdale	NY

07/09/98

15:09:18

View Full Response

~~SECRET~~

UNI040M2

Page 1 of 3

Press desired program function key or Enter.

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED EXCEPT
WHERE SHOWN OTHERWISE

Name : HOLBROOKE, RICHARD, C

DDN :

DATE: 02-14-2011

CLASSIFIED BY 60324UCBAW/SB/CMW

REASON: 1.4 (c)

DECLASSIFY ON: 02-14-2036

b1

Name No . . . : 1 Rec No : 1

Race . . . : H Sex : M

Case ID . . (S) [REDACTED]

Character . . (S) [REDACTED]

Main/Ref : R

Serial . . (S) [REDACTED]

Document Date . . .

Event Date . . .

DOB

POB

ID Info

Locality

~~SECRET~~

Command . . > +

F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA

F21=ViewCase

Unable to
locate file

07/09/98

15:09:13

View Full Response

~~SECRET~~

UNI040M2

Page 1 of 3

Press desired program function key or Enter.

Name : HOLBROOKE, RICHARD, C

DDN :

(S)

Name No . . . : 1 Rec No : 1

Race . . . : U Sex . : M

Case ID . . . :

Character . . . :

Main/Ref (S) : R

Serial . . . : WF

Document Date :

Event Date. . :

DOB . . . :

POB . . . :

ID Info . . . :

Locality. . . :

~~SECRET~~

Command . . . > +

F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA

F21=ViewCase

DATE: 04-01-2011

CLASSIFIED BY 60324UCBAW/SB/CMW

REASON: 1.4 (C)

DECLASSIFY ON: 04-01-2036

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED EXCEPT
WHERE SHOWN OTHERWISE

b1

Unable to
locate file

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED EXCEPT
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ROOKE, RICHARD

7/71

65-67-17p6

AX

EXEMPTED FROM AUTOMATIC
DECLASSIFICATION
AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
EXEMPTION CODE 25X(1)
DATE 07-26-2011

Not enough information in
file to ident. or not ident.

NO DATA

HOLBROOKE, RICHARD

HOLBROOKE, RICHARD

7/71

65-11613-176p6

Director of Peace
Corps in Morocco

4/84

CFR

(S)



Not enough information in
file to ident. or not ident.

b1

HOLBROOKE, RICHARD
(DR)

9/71

65-11613-554p4

Peace Corps Morocco

Not enough information in
file to ident. or not ident.

HOLBROOKE, RICHARD CHARLES

161-3820*

JUL 1966

DOB: 4-24-41
N.Y.

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED EXCEPT
WHERE SHOWN OTHERWISE

"No need to Review"

EXEMPTED FROM AUTOMATIC
DECLASSIFICATION
AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
EXEMPTION CODE 25X(1)
DATE 07-26-2011

HOLBROOKE, RICHARD CHARLES

1/77

161-4220

DPOB: 4/24/41, NEW YORK CITY

AT

OO:BU

"No need to Review"

b1

HOLBROOKE, RICHARD C 4-25-05

(S)

Ident./possible Ident.
see attached communication(s)

FCICH

LEHMAN BROTHERS KUHN LOEB INCORPORATED
55 WATER ST. NY. NY.

(S)

CI-10

-2-

EXEMPTED FROM AUTOMATIC
DECLASSIFICATION
AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
EXEMPTION CODE 25X(1,6)
DATE 02-14-2011

SAC, NEW YORK

11/16/84

SAC, WASHINGTON FIELD OFFICE

~~SECRET~~

(S) [redacted] (P) (CI-10)

(S) [redacted]

OO:WFO

All markings, notations and items of information contained
in this communication are classified "~~Secret~~" unless otherwise
noted.

Re WFO airtel to New York dated February 9, 1981.

(S) Enclosed for New York are 135 copies of information
provided by [redacted]

(S) Information provided by [redacted] should be handled
in accordance with instructions provided in the FCI Manual.

(S) [redacted] is a highly sensitive source and it is essential
this information be handled with the utmost discretion. b1

(S) Copies of investigations opened as a result of the information
provided should be directed to [redacted] referenced
in this communication. Also, a copy of that investigation should
be directed to [redacted]

(S) [redacted]

(S) [redacted]

(S) [redacted] advised the following individuals
contact with the below listed officials.

SECRET

(S) [redacted]

Classified by: 7588
Declassify on: OADR

Searched [redacted]

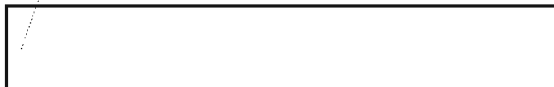
2-New York (Enc. 135)
11-Washington Field Office

(S) 1
1
1

VJM:rkj
(13)

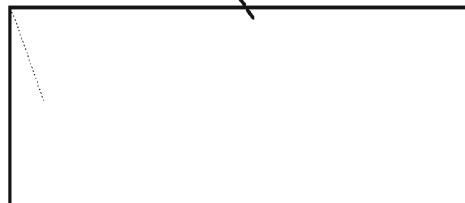
(S) [redacted]
1-161-3820 (HOLBROOKE)

(S)



~~SECRET~~

(S)



b1

CORRESPONDENT

DATE

RICHARD C. HOLBROOKE
Lehman Brothers Kuhn Loeb
Incorporated
55 Water Street
New York, New York

7/21/84

(S)

(WFO indices were searched regarding
RICHARD C. HOLBROOKE and two references
were found regarding [redacted]
WFO indices also reflects one main file
regarding a RICHARD CHARLES HOLBROOKE,
DPOB: 4/24/41, New York, New York.

A review of main file indicated that HOLBROOKE
was a subject a 1976 Special Inquiry for a position
with The Carter Administration.
File indicated that HOLBROOKE was a Foreign Service
Officer in 1962. He obtained a "~~Top Secret~~" clearance
while in this position, however, USDS advised that this
clearance was terminated once HOLBROOKE departed
from United States Department of State (USDS).
[On 11/26/76, USDS notice to Key Personnel advised
that Holbrooke would be a consultant to Liaison
Office for the President-Elect CARTER in the USDS.
On 11/20/77, "~~TOP SECRET~~" clearance was granted to
HOLBROOKE for his position as Assistant Secretary
for East Asian & Pacific Affairs.]

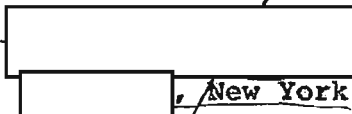
b6
b7C

No other information was available regarding
HOLBROOKE except that HOLBROOKE was favored highly
by friends and associates and investigation was
closed with no derogative information.

b1

(WFO file 161-3820)/

ADDRESS:



7/5/84

(S)



(WFO indices were negative regarding
the above address.)

~~SECRET~~

~~SECRET~~

(S)

CORRESPONDENT

DATE

[REDACTED]
Grumman Corporation

7/13/84

(WFO indices reflects that [REDACTED])

(S)

7/16/84

[REDACTED]
New York

(WFO indices were negative regarding [REDACTED])

7/25/84

[REDACTED]
New York

(WFO indices reflects that [REDACTED])

(S)

(S)

ADDRESS: [REDACTED]

7/25/84

[REDACTED]
New York

11370

(WFO indices were negative regarding the above address.)

7/12/84

[REDACTED]
New York

ADDRESS: [REDACTED]

7/20/84

[REDACTED]
New York

11201

[REDACTED]
New York

7/20/84

~~SECRET~~

b1
b6
b7C

~~SECRET~~

(S)

[Redacted]

CORRESPONDENT

[Redacted]

[Redacted]

New York

DATE

7/7/84

(S)

[Redacted]

b1
b6
b7C

(WFO indice reflects no reference regarding
in which

(S)

(S)

[Redacted]

~~SECRET~~

~~SECRET~~

~~SECRET~~

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED EXCEPT
WHERE SHOWN OTHERWISE

EXEMPTED FROM AUTOMATIC
DECLASSIFICATION
AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
EXEMPTION CODE 25X(1,6)
DATE 02-14-2011

b1

HOLBROOKE, (FNU) 1/84

(S)

LEHMAN BROTHERS KUHN LOEB INC., 55 WATER
STREET, NEW YORK, NEW YORK 10041

(S)

CI-10

Ident./possible ident.
see attached communication(s)

~~SECRET~~

Memorandum

~~SECRET~~

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED EXCEPT
WHERE SHOWN OTHERWISE



To : SAC, NEW YORK

Date 12/30/83

From : (S) SAC, [redacted] (P) (CI-10) ~~SECRET~~

Subject :

(S) [redacted]
OO:WFO

EXEMPTED FROM AUTOMATIC
DECLASSIFICATION
AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
EXEMPTION CODE 25X(1)
DATE 02-14-2011

All markings, notations and items of information contained in this communication are classified "Secret" unless otherwise noted.

ReWFO airtel to New York, dated 2/9/81.

(S) ~~Enclosed for New York~~ are 104 copies of information provided by [redacted]

(S) Information provided by [redacted] should be handled in accordance with instructions provided in the FCI Manual.

b1

(S) [redacted] is a highly sensitive source and it is essential this information be handled with the utmost discretion.

(S) Copies of investigations opened as a result of the information provided should be directed to [redacted] and referred in this communication. Also [redacted]

(S) [redacted]

SECRET

Classified by: 7
Declassify on: 0

(S)

[redacted]

(S) ④ - New York (Enc. 104)

(S) ⑥ - Washington Field Office

(S)

[redacted]

Searched _____
Serialized _____ KF
Indexed _____ KF
Filed _____ KF

VJM:lcr
(10)

lcr

Q

~~SECRET~~

(S)

[REDACTED]

~~SECRET~~

(S)

[REDACTED]

advised the following individuals were

(S)

[REDACTED]

(S)

[REDACTED]

CORRESPONDENT

DATE

(S)

[REDACTED]

(S)

Holbrooke - 44th Floor 11/12
Lehman Brothers Kuhn Loeb
Incorporated
55 Water Street
New York, New York 10041

(WFO indices negative
concerning Holbrooke)

China Group Incorporated 11/3/83
2 World Trade Center
107 Floor
New York, New York 10048

[REDACTED]

11/5

[REDACTED]

11/21

[REDACTED]

11/9

[REDACTED]

11/12

[REDACTED]

11/25

b1
b6
b7C

~~SECRET~~

(S)

[Redacted]

CORRESPONDENT

[Redacted]

[Redacted]

[Redacted]

DATE

12/2

11/4,

11/18

11/5/83

(S)

[Redacted]

~~SECRET~~

b1
b6
b7c

3*

~~SECRET~~

07/09/98

15:09:29

View Full Response

~~SECRET~~

UNI040M2

Page 1 of 3

Press desired program function key or Enter.

Name : HOLBROOKE, RICHARD

DDN :

Name No . . . (S) 1 Rec No : 1

Race : U Sex . . . : M

Case ID

Character

Main/Ref

Serial

Document Date

Event Date

DOB

POB

ID Info

Locality

WF

Ident./possible Ident.
see attached communication(s)

~~SECRET~~

Command . . . > +

F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA

F21=ViewCase

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED EXCEPT
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EXEMPTED FROM AUTOMATIC
DECLASSIFICATION
AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
EXEMPTION CODE 25X(1,6)
DATE 02-14-2011

b1

Memorandum

~~SECRET~~



(S)

To : SAC, WMFO

(CI-6)

Date 7/18/90

From : SSA

(CI-19)

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED EXCEPT
WHERE SHOWN OTHERWISE

(S)

Subject :

OO: WMFO

DATE: 05-11-2011
CLASSIFIED BY 60324UCBAW/SB/CMW
REASON: 1.4 (b,c)
DECLASSIFY ON: 05-11-2036

THIS COMMUNICATION IS CLASSIFIED "~~SECRET~~" IN ITS

~~ENTIRETY.~~

(S)

This information has been reviewed and determined to be pertinent to the captioned matter. It is being forwarded for appropriate action. No indexing has been done re this information. No copies of this information have been retained by Squad CI-19.

b1

EXTREME CARE SHOULD BE EXERCISED IN THE HANDLING OF THIS INFORMATION. IT MUST BE SUITABLY PARAPHRASED IN ALL COMMUNICATIONS. WHEN THE INFORMATION IS INCORPORATED IN ANOTHER COMMUNICATION, CAREFUL CONSIDERATION MUST BE GIVEN AS TO WHAT LEVEL OF CLASSIFICATION IS REQUIRED. IF THE SOURCE CAN BE COMPLETELY PROTECTED, NO CLASSIFICATION WOULD ORDINARILY BE REQUIRED TO PROTECT THE SOURCE. HOWEVER BEAR IN MIND THAT ANY INFORMATION SHOWING

(S)

IS USUALLY CLASSIFIED CONFIDENTIAL AND EXEMPT FROM DECLASSIFICATION, CATEGORY THREE. THIS SERIAL IS TO BE MAINTAINED ONLY IN HEADQUARTERS CITY.

~~SECRET~~

~~CLASSIFIED BY: 112~~
~~DECLASSIFY ON: OADR~~

2- WMFO

(S)

(S) (1)

RRK

RRK:rrk

(2)

~~SECRET~~

(S)

SEARCHED	INDEXED
SERIALIZED	FILED
JUL 18 1990	
FBI - WASH. FIELD OFFICE	

View Full Response

~~SECRET~~

07709798
15:09:42

Press desired program function key or Enter.

Name : HOLBROOKE, RICHARD

DDN :

Name No . . . : 1 Rec No : 1

Race . . . : U Sex . . : M

Case ID . . . : (S)

Character . . . : (S)

Main/Ref . . . : WF

Serial . . . :

Document Date :

Event Date . . . :

DOB :

POB :

ID Info . . . :

Locality . . . :

EXEMPTED FROM AUTOMATIC
DECLASSIFICATION
AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
EXEMPTION CODE 25X(1)
DATE 07-26-2011

b1

Not enough information in
file to ident. or not ident.

~~SECRET~~

Command . . . > +

F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA
F21=ViewCase

07/09/98

View Full Response

UNI040M2

15:09:39

~~SECRET~~

Page 1 of 3

Press desired program function key or Enter.

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED EXCEPT
WHERE SHOWN OTHERWISE

Name : HOLBROOKE, RICHARD

DDN :

(S)

Name No . . . : 1 Rec No : 1

Race . . . : U Sex . : M

Case ID . . . : 

Character . . . : 

Main/Ref . . . : 

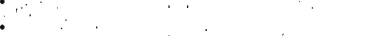
Serial . . . : 

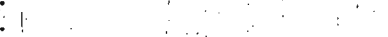
WE

Document Date . . . : 

Event Date . . . : 

DOB . . . : 

POB . . . : 

ID Info . . . : 

Locality . . . : 

~~SECRET~~

EXEMPTED FROM AUTOMATIC
DECLASSIFICATION
AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE b1
EXEMPTION CODE 25X(1)
DATE 07-26-2011

*Iden-possible Ident.
see attached communication(s)*

Command . . . > +

F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA

F21=ViewCase

Memorandum

~~SECRET~~



(S) To SAC. WMFO [Redacted]

Date

08 AUG 1989

From SUPERVISOR, CI - 1 SQUAD

CI-2

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DECLASSIFICATION

AUTHORITY DERIVED FROM:

FBI AUTOMATIC DECLASSIFICATION GUIDE

EXEMPTION CODE 25X(1,6)

DATE 02-14-2011

(S) Subject [Redacted]

Source

(S)

WF [Redacted]

S

Reliability

Who has furnished reliable information in the past.

Date Advised

(S)

EXTREME CARE SHOULD BE EXERCISED IN THE HANDLING OF THIS
INFORMATION AND IT MUST BE SUITABLY PARAPHRASED IN ALL
COMMUNICATIONS. WHEN THE INFORMATION IS INCORPORATED
IN ANOTHER COMMUNICATION, CAREFUL CONSIDERATION MUST BE
GIVEN AS TO WHAT LEVEL OF CLASSIFICATION IS REQUIRED. IF
THE SOURCE CAN BE COMPLETELY PROTECTED, NO CLASSIFICA-
TION WOULD ORDINARILY BE REQUIRED TO PROTECT THE SOURCE.
HOWEVER, BEAR IN MIND ANY INFORMATION SHOWING [Redacted]

(S)

[Redacted] IS USUALLY CLASSIFIED CONFIDENTIAL AND
EXEMPT FROM DECLASSIFICATION, CATEGORY THREE.
THIS SERIAL IS TO BE MAINTAINED ONLY IN HEADQUARTERS CITY.

(S)

[Redacted]

(S)

(S)

~~SECRET~~
Classified by G-3
Declassify on: OADR

SERIALIZED ☒ FILED ☒
AUG 9 1989
FBI - WASHINGTON FIELD OFFICE

b1

07/09/98

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UNI040M2

15:09:46

Page 1 of 3

Press desired program function key or Enter.

Name : HOLBROOKE, RICHARD

DDN :

ALL INFORMATION CONTAINED

HEREIN IS UNCLASSIFIED

DATE 02-14-2011 BY 60324UCBAW/SB/CMW

Name No . . . : 1 Rec No : 1

Race . . . : U Sex . : M

Case ID . . . : 174C-WF-186825

Character . . : EID

Main/Ref . . : R

Serial . . . : 571;

Document Date :

Event Date. . :

DOB :

POB :

ID Info :

Locality. . . . :

Unable to
locate file

per EMA
SQUAD NS 13
7/10/98

Command . . . > +

F1=Help F3=Exit F4=Prompt F11=NextPg F12=Cancel F13=ViewSerial F14=AddAKA

F21=ViewCase

JUL 13 '98 11:15AM

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED
DATE 02-14-2011 BY 60324UCBAW/SB/CNW

P.3 P.4

REQUEST FOR INDICES SEARCH

CFR

PC

BUDED 7-21-98 WITHOUT FAIL

DATE SENT TO INDICES 7-2-98

APPOINTEE Richard Charles Albert Holbrooke

CASE NUMBER 161A-HO-NO# AS OF YET

NUMBER OF NAMES TO BE SEARCHED 1

SEARCH and REVIEW all names that are underlined.

DO NOT REVIEW 241's, 161's, 116's, 77's and 67's.

b6
b7C

	DATE SEARCHED	SEARCHED BY	NEG/POS
<u>ELECTRONIC</u>	<u>7/9/98</u>		<u>Pos</u>
<u>GENERAL</u>	<u>7/9/98</u>		<u>Pos</u>
<u>CFR</u>			

FORWARD TO FILE REVIEW ANY POSITIVE HITS.

FILES WERE REVIEWED ON 7/10/98 BY 

CFR FILES WERE REVIEWED ON July 15, 1998 BY 

RETURN RESULTS TO SQUAD A-1
PS: 

SEARCHED	INDEXED
SERIALIZED	FILED
JUL 8 1998	
FBI - WASHINGTON FIELD	

JUL 13 98 11:16AM

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P.6
P.5

AX

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DECLASSIFICATION
AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
EXEMPTION CODE 25X(1,6)
DATE 02-14-2011

Not enough information in
file to ident. or not ident.

NO DATA

HOLBROOKE, RICHARD

HOLBROOKE, RICHARD

7/71

65-11613-176p6

b1

Director of Peace
Corps in Morocco

4/84

Not enough information in
file to ident. or not ident.

CFR

(S)



Not enough information in
file to ident. or not ident.

HOLBROOKE, RICHARD
(DR)

9/71

65-11613-554p4

Peace Corps Morocco

Not enough information in
file to ident. or not ident.

JUL-02-1998 12:17

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED EXCEPT P.02/12
WHERE SHOWN OTHERWISE

~~SECRET~~

** 07/02/98 NAME CHECK Run 1 Page 1 **
** 11:58:35 Searcher # 0533 **
**
** Subject: DATE: 02-14-2011
** Search: HOLBROOKE, RICHARD, CHARLES CLASSIFIED BY 60324UCBAW/SB/CMW
** Agency: WHITE HOUSE/SPECIAL INQUIRY REASON: 1.4 (c)
** DECLASSIFY ON: 02-14-2036
** Return to...: Supervisor Room Ext **
**
** File Review: R# PROD UTD **

** Search DOB : 04-24-1941 Search SOC: **
** Rules.....: SP,N,A,N,Y,N,A,N,N **

HOLBROOKE, RICHARD, CHARLES

True Name: HOLBROOKE, RICHARD, CHARLES ALBERT
Entry date: 08/01/1966

(I) HQ 161-4612

Entry date: 10/10/1966

(I) HQ 161-4612

R SERIAL: 47 HQ

R SERIAL: 24 HQ

HOLBROOKE, RICHARD, CHARLES ALBERT

Entry date: 08/01/1966

(I) HQ 161-4612

Entry date: 07/05/1994

(I) 161B-HQ-4612

Entry date: 07/11/1994

(I) 161B-HQ-2004612

b1

HOLBROOKE, RICHARD, C

Entry date: 10/21/1994
HQ 64-175-232

R SERIAL: 2966 HQ

Entry date: 08/17/1971
HQ 65-74060

R SERIAL: 1067 HQ

Entry date: 10/31/1997

(S)

HOLBROOK, RICHARD

Entry date: 07/24/1987
HQ 139-0

~~SECRET~~

~~SECRET~~

** 07/02/98 NAME CHECK Run 1 Page 2 **
** 11:58:35 Searcher # 0533 **
**
** Subject: **
** Search: HOLBROOKE, RICHARD, CHARLES **
** Agency: WHITE HOUSE/SPECIAL INQUIRY **
**

HOLBROOKE, RICHARD

Entry date: 08/18/1971
HQ 65-74060

R SERIAL: 1077-P4 HQ

Entry date: 06/25/1971
HQ 65-74060

R SERIAL: 30 HQ

Entry date: 07/15/1971
HQ 65-74060

R SERIAL: 350-P6 HQ

Entry date: 06/26/1979
HQ 109-C12-A-

R SERIAL: WASHINGTON POST HQ

Entry date: 02/17/1995
HQ 109-C12-273

R SERIAL: 265 HQ

Entry date: 12/14/1995
HQ 199-2868

R SERIAL: 97

Entry date: 11/18/1997
199L-NY-C234460

R SERIAL: 152

HOLBROOK, CHARLES

Entry date: 12/16/1971
HQ 100-439048-3

R SERIAL: 349 HQ

~~SECRET~~

```

*****
** 07/02/98                NAME CHECK                Run 1   Page 1   **
** 11:59:09                Searcher # 0533           **
**                               **
** Subject:                               **
** Search:  HOLBROOKE, TRUDI                ALL INFORMATION CONTAINED **
** Agency:  WHITE HOUSE/SPECIAL INQUIRY      HEREIN IS UNCLASSIFIED        **
**                               DATE 02-14-2011 BY 60324UCBAW/SB/CMW **
** Return to...:                               **
**      Supervisor                                Room      Ext      **
**                               **
** File Review: R#      PROD      UTD      **
*****
** Search DOB : 09-15-1920                Search SOC:                **
** Rules.....: SP,N,A,N,Y,N,A,N,N                **
*****

```

HOLBROOKE, TRUDI

True Name: KEARL, TRUDI, MOOS
 Entry date: 10/10/1966
 (I) HQ 161-4612

R SERIAL: 18 HQ

HOLBROOKE, TRUDI, MOOS

True Name: KEARL, TRUDI, MOOS
 Entry date: 10/10/1966
 (I) HQ 161-4612

R SERIAL: 18 HQ

```
*****
** 07/02/98                NAME CHECK                Run 1   Page 1   **
** 11:59:56                Searcher # 0533           **
**                                                                **
** Subject:                ALL INFORMATION CONTAINED      **
** Search:  KEARL, STANLEY  HEREIN IS UNCLASSIFIED        **
** Agency:  WHITE HOUSE/SPECIAL INQUIRY  DATE 02-14-2011 BY 60324UCBAW/SB/CMW **
**                                                                **
** Return to...:           _____                _____ **
**                      Supervisor                Room          Ext          **
**                                                                **
** File Review: R# _____ PROD _____ UTD _____ **
*****
** Search DOB :                Search SOC:                **
** Rules.....: SP,R,A,N,Y,N,A,N,N                      **
*****
```

NO RECORD

** 07/02/98 NAME CHECK Run 1 Page 1 **
** 12:00:18 Searcher # 0533 **
**
** Subject: [REDACTED] ALL INFORMATION CONTAINED **
** Search: [REDACTED] HEREIN IS UNCLASSIFIED **
** Agency: WHITE HOUSE/SPECIAL INQUIRY DATE 02-14-2011 BY 60324UCBAW/SB/CMW **
**
** Return to...: _____ **
** Supervisor Room Ext **
**
** File Review: R# _____ PROD _____ UTD _____ **

** Search DOB : [REDACTED] Search SOC: **
** Rules.....: SP,N,A,N,Y,N,A,N,N **

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[REDACTED]
[REDACTED]
(I) HQ 161-4612

R SERIAL: 3 HQ


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*****
** 07/02/98                      NAME CHECK                      Run 1   Page 1   **
** 12:00:37                      Searcher # 0533                **
**                               **                               **
** Subject: [REDACTED]          ALL INFORMATION CONTAINED      **
** Search: [REDACTED]          HEREIN IS UNCLASSIFIED          **
** Agency: WHITE HOUSE/SPECIAL INQUIRY  DATE 02-14-2011 BY 60324UCBAW/SE/CMW **
**                               **                               **
** Return to...:                Supervisor                      Room      Ext      **
**                               **                               **
** File Review: R# [REDACTED]  PROD [REDACTED]  UTD [REDACTED] **
*****
** Search DOB : [REDACTED]      Search SOC:                    **
** Rules.....: TP,R,A,N,Y,N,A,N,N                               **
*****
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NO RECORD

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*****
** 07/02/98                NAME CHECK                Run 1    Page 1    **
** 12:00:56                Searcher # 0533            **
**                                                                **
** Subject: [REDACTED]          ALL INFORMATION CONTAINED      **
** Search: [REDACTED]          HEREIN IS UNCLASSIFIED          **
** Agency: WHITE HOUSE/SPECIAL INQUIRY          DATE 02-14-2011 BY 60324UCBAW/SB/CMW **
**                                                                **
** Return to...:              Supervisor              Room      Ext      **
**                                                                **
** File Review: R# [REDACTED]  PROD [REDACTED]  UTD [REDACTED]  **
*****
** Search DOB : [REDACTED]          Search SOC:              **
** Rules.....: SP,R,A,N,Y,N,A,N,N          **
*****
```

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NO RECORD

JUL-02-1998 12:18

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED EXCEPT
WHERE SHOWN OTHERWISE

P.09/12

~~SECRET~~

** 07/02/98

NAME CHECK

Run 1 Page 1

** 12:01:25

Searcher # 0533

**

** Subject:

** Search:

** Agency: WHITE HOUSE/SPECIAL INQUIRY

**

** Return to..:

** Supervisor

**

** File Review: R#

PROD

UTD

** Search DOB :

Search SOC:

** Rules.....: SP,N,A,N,Y,N,A,N,N

[REDACTED]

[REDACTED]

(S) (I)

[REDACTED]

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b1

~~SECRET~~

```
*****
** 07/02/98                NAME CHECK                Run 1   Page 1   **
** 12:01:43                Searcher # 0533           **
**                                                                **
** Subject: [REDACTED]                                                                **
** Search: [REDACTED]                                                                **
** Agency: WHITE HOUSE/SPECIAL INQUIRY          ALL INFORMATION CONTAINED **
**                                                                **
**                                                                **
** Return to...: _____ ALL INFORMATION CONTAINED **
** Supervisor _____ Room _____ Ext _____ HEREIN IS UNCLASSIFIED **
**                                                                **
** File Review: R# _____ PROD _____ UTD _____ DATE 02-14-2011 BY 60324UCBAW/SB/CNW **
** Search DOB : [REDACTED] Search SOC: _____ **
** Rules.....: SP,R,A,N,Y,N,A,N,N **
*****
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NO RECORD

JUL-02-1998 12:18

P.11/12

```
*****
** 07/02/98                NAME CHECK                Run 1   Page 1   **
** 12:02:01                Searcher # 0533           **
**                                                                **
** Subject: [REDACTED]                                     **
** Search: [REDACTED]                                     **
** Agency: WHITE HOUSE/SPECIAL INQUIRY                 **
**                                                                **
** Return to...: Supervisor                               Room      Ext      **
**                                                                **
** File Review: R# [REDACTED] PROD [REDACTED] UTD [REDACTED] **
*****
** Search DOB [REDACTED] Search SOC:                   **
** Rules.....: SP,R,A,N,Y,N,A,N,N                   **
*****
```

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED
DATE 02-14-2011 BY 60324UCBAW/SB/CMW

b6
b7c

NO RECORD

** 07/02/98 NAME CHECK Run 1 Page 1 **
** 12:02:43 Searcher # 0533 **
**
** Subject: [REDACTED] ALL INFORMATION CONTAINED **
** Search: [REDACTED] HEREIN IS UNCLASSIFIED **
** Agency: WHITE HOUSE/SPECIAL INQUIRY DATE 02-14-2011 BY 60324UCBAW/SB/CMW **
**
** Return to...: Supervisor Room Ext **
**
** File Review: R# [REDACTED] PROD [REDACTED] UTD [REDACTED] **

** Search DOB : [REDACTED] Search SOC: **
** Rules.....: SP,N,A,N,Y,N,A,N,N **

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(I)

R SERIAL: 11-P5;15 HQ

R SERIAL: 38 HQ

R SERIAL: 25 HQ

SSSS PPPP EEEE CCCC IIIII A L
 S P P E C I A A L
 SSSS PPPP EE C I AAAAA L
 S P E C I A A L
 SSSS P EEEE CCCC IIIII A A LLLL

SPECIAL INQUIRY & GENERAL BACKGROUND INVESTIGATIONS (SIGBIU)
 FEDERAL BUREAU OF INVESTIGATION
 RECORDS/OPERATIONS SECTIONS

DATE: 07/02/1998

BUDED: 07/07/1998

X NAME SEARCHING UNIT, NEWINGTON ANNEX

X FORWARD TO PICKETT STREET

X FORWARD TO FILE REVIEW : RM 5931

X RETURN TO: ROOM 4371, EXT.

SCOPE OF SEARCH: UNRESTRICTED ACTIVE/INACTIVE (ADB)

TYPE OF SEARCH REQUESTED: ALL REFERENCES (SECURITY & CRIMINAL)

FR UTD

ALL INFORMATION CONTAINED

HEREIN IS UNCLASSIFIED

DATE 02-14-2011 BY 60324UCBAW/SB/CNW

SPECIAL INSTRUCTIONS: X SIX WAY PHONETIC

b6
b7c

SUBJECT IS DESCRIBED AS FOLLOWS:

NAME: HOLBROOKE, RICHARD, CHARLES ALBERT *

DOB: 04/24/1941

POB: NEW YORK, NY *

SSAN: 132-32-3096

LOCALITIES: NY, DC, GERMANY

RELATIVES: FR UTD

SPECIAL INSTRUCTIONS: X THREE WAY SEARCH

RELATIONSHIP	NAME	DOB	LOCALITIES
MOTHER	TRUDI HOLBROOKE KEARL NEE: TRUDI MOOS	09/15/1920	GERMANY, NY
STEPFATHER	STANLEY KEARL	12/22/1913	NY

See Attached Sheet

SSSS PPPP EEEE CCCC I IIII A L
 S P P E C I A A L
 SSSS PPPP EE C I AAAAA L
 S P E C I A A L
 SSSS P EEEE CCCC I IIII A A LLLL

EXPEDITE

SPECIAL INQUIRY & GENERAL BACKGROUND INVESTIGATIONS (SIGBIU)
 FEDERAL BUREAU OF INVESTIGATION
 RECORDS/OPERATIONS SECTIONS

DATE: 07/02/1998

BUDED: 07/07/1998

X SERVICE UNIT, ROOM 5991

X RETURN TO: [REDACTED] ROOM 4371, EXT. 3862

SCOPE OF SEARCH: SECURE DATA INFORMATION SYSTEM

TYPE OF SEARCH REQUESTED: ALL REFERENCES (SECURITY & CRIMINAL)

FR UTD

SPECIAL INSTRUCTIONS: X SIX WAY PHONETIC

ALL INFORMATION CONTAINED
 HEREIN IS UNCLASSIFIED
 DATE 02-14-2011 BY 60324UCBAW/SB/CMW

SUBJECT IS DESCRIBED AS FOLLOWS:

NAME: HOLBROOKE, RICHARD, CHARLES ALBERT *

DOB: 04/24/1941

POB: NEW YORK, NY *

SSAN: 132-32-3096

LOCALITIES: NY, DC, GERMANY

RELATIVES: FR UTD

#209

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 b7C

SPECIAL INSTRUCTIONS: X THREE WAY SEARCH

RELATIONSHIP	NAME	DOB	LOCALITIES
MOTHER	TRUDI HOLBROOKE KEARL NEE: TRUDI MOOS NR	09/15/1920	GERMANY, NY
STEPFATHER	STANLEY KEARL NR	12/22/1913	NY

IDENT CHECK ROOM 11262B TUBE J1, ATTN: [REDACTED]

EXPEDITE

FROM: SPECIAL INQUIRY & GENERAL BACKGROUND INVESTIGATIONS UNIT, DIV 3, RM
EXT: 3862 ATTN: PSS [REDACTED]

SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE

BUDED: 07/07/1998

BUREAU FILE NUMBER: 161B-*

THE BUREAU HAS BEEN REQUESTED TO CONDUCT AN EXPEDITE BACKGROUND INVESTIGATION OF THE ABOVE-CAPTIONED SUBJECT, WHO IS BEING CONSIDERED FOR PRESIDENTIAL APPOINTMENT. YOU ARE REQUESTED TO CHECK APPROPRIATE INDICES BASED UPON AVAILABLE INFORMATION CONCERNING SUBJECT, EMPLOYMENT, AND ALL CLOSE RELATIVES. IT IS REQUESTED THAT THE RESULTS OF YOUR CHECK, WHETHER POSITIVE OR NEGATIVE, BE INDICATED IN THE SPACES PROVIDED BELOW, AND RELAYED TO THE SPECIAL INQUIRY & GENERAL BACKGROUND INVESTIGATIONS UNIT, RM 4371 VIA ROUTING SLIP MARKED 'URGENT'.

SUBJECT IS DESCRIBED AS FOLLOWS:

RESULT NAME: RICHARD CHARLES ALBERT HOLBROOKE

DOB: 04/24/1941

POB: NEW YORK, NY

SSAN: 132-32-3096

CURRENT ADDRESS: 211 CENTRAL PARK
NEW YORK, NY 10024

EMPLOYMENT: CREDIT SUISSE FIRST BOSTON
ELEVEN MADISON AVE NEW YORK, NY 10010

*please search
DOB 3/4
below*

b6
b7c

CLOSE RELATIVES

RESULT	NAME	DOB	RESIDENCE
-----	----	---	-----
_____	TRUDI HOLBROOKE KEARL	09/15/1920	344 SPRAIN RD
_____	NEE: TRUDI MOOS		SCARSDALE, NY

CHECK CONDUCTED BY: _____

ON

CDW *7/2/98*

IDENT CHECK ROOM 11262B TUBE J1, ATTN: [REDACTED]

EXPEDITE

FROM: SPECIAL INQUIRY & GENERAL BACKGROUND INVESTIGATIONS UNIT, DIV 3, RM
EXT: 3862 ATTN: PSS [REDACTED]

SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE

BUDED: 07/07/1998

BUREAU FILE NUMBER: 161B-*

THE BUREAU HAS BEEN REQUESTED TO CONDUCT AN EXPEDITE BACKGROUND INVESTIGATION OF THE ABOVE-CAPTIONED SUBJECT, WHO IS BEING CONSIDERED FOR PRESIDENTIAL APPOINTMENT. YOU ARE REQUESTED TO CHECK APPROPRIATE INDICES BASED UPON AVAILABLE INFORMATION CONCERNING SUBJECT, EMPLOYMENT, AND ALL CLOSE RELATIVES. IT IS REQUESTED THAT THE RESULTS OF YOUR CHECK, WHETHER POSITIVE OR NEGATIVE, BE INDICATED IN THE SPACES PROVIDED BELOW, AND RELAYED TO THE SPECIAL INQUIRY & GENERAL BACKGROUND INVESTIGATIONS UNIT, RM 4371 VIA ROUTING SLIP MARKED 'URGENT'.

SUBJECT IS DESCRIBED AS FOLLOWS:

RESULT NAME: RICHARD CHARLES ALBERT HOLBROOKE

DOB: 04/24/1941

POB: NEW YORK, NY

SSAN: 132-32-3096

CURRENT ADDRESS: 211 CENTRAL PARK
NEW YORK, NY 10024

EMPLOYMENT: CREDIT SUISSE FIRST BOSTON
ELEVEN MADISON AVE NEW YORK, NY 10010

*please search
DOB 3/8
below*

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b7c

CLOSE RELATIVES

RESULT NAME

TRUDI HOLBROOKE KEARL
NEE: TRUDI MOOS

DOB

09/15/1920

RESIDENCE

344 SPRAIN RD
SCARSDALE, NY

*This was a
channel as a
non-ident*

*Recall
on*

*7/6/98
BN*

CHECK CONDUCTED BY: CDW

ON

7/2/98

IDENT CHECK ROOM 11212B TUBE J1, ATTN: [REDACTED]

FROM: SPECIAL INQUIRY & GENERAL BACKGROUND INVESTIGATIONS UNIT, DIV 3, RM
EXT: 3862 ATTN: PSS [REDACTED]

SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE

BUDED: 07/07/1998

BUREAU FILE NUMBER: 161B-*

THE BUREAU HAS BEEN REQUESTED TO CONDUCT AN EXPEDITE BACKGROUND INVESTIGATION OF THE ABOVE-CAPTIONED SUBJECT, WHO IS BEING CONSIDERED FOR PRESIDENTIAL APPOINTMENT. YOU ARE REQUESTED TO CHECK APPROPRIATE INDICES BASED UPON AVAILABLE INFORMATION CONCERNING SUBJECT, EMPLOYMENT, AND ALL CLOSE RELATIVES. IT IS REQUESTED THAT THE RESULTS OF YOUR CHECK, WHETHER POSITIVE OR NEGATIVE, BE INDICATED IN THE SPACES PROVIDED BELOW, AND RELAYED TO THE SPECIAL INQUIRY & GENERAL BACKGROUND INVESTIGATIONS UNIT, RM 4371 VIA ROUTING SLIP MARKED 'URGENT'.

SUBJECT IS DESCRIBED AS FOLLOWS:

RESULT NAME: RICHARD CHARLES ALBERT HOLBROOKE

DOB: 04/24/1941

POB: NEW YORK, NY

SSAN: 132-32-3096

CURRENT ADDRESS: 211 CENTRAL PARK
NEW YORK, NY 10024

EMPLOYMENT: CREDIT SUISSE FIRST BOSTON
ELEVEN MADISON AVE NEW YORK, NY 10010

*please search
DOB 3/4
below*

b6
b7C

CLOSE RELATIVES

RESULT NAME

DOB

RESIDENCE

TRUDI HOLBROOKE KEARL

09/15/1920

344 SPRAIN RD

NEE: TRUDI MOOS

SCARSDALE, NY

CHECK CONDUCTED BY: CDW

ON 7/2/98

NGIC CHECK

ROOM 1328 TL153, ATTN: [REDACTED]

WANTED & CCH FILES

FROM:

EXT: 3862 ATTN: PSS [REDACTED]

SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE
AKA(S):

BUDED: 07/28/1998

THE BUREAU HAS BEEN REQUESTED TO CONDUCT AN EXPEDITE
BACKGROUND INVESTIGATION OF THE ABOVE-CAPTIONED SUBJECT, WHO IS
BEING CONSIDERED FOR PRESIDENTIAL APPOINTMENT. YOU ARE REQUESTED
TO CHECK APPROPRIATE INDICES BASED UPON AVAILABLE INFORMATION
CONCERNING SUBJECT, EMPLOYMENT, AND ALL CLOSE RELATIVES. IT IS
REQUESTED THAT THE RESULTS OF YOUR CHECK, WHETHER POSITIVE OR
NEGATIVE, BE INDICATED IN THE SPACES PROVIDED BELOW, AND RELAYED
TO THE RM

VIA ROUTING SLIP
MARKED 'URGENT'.

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED
DATE 02-15-2011 BY 60324UCBAW/SB/CMW

SUBJECT IS DESCRIBED AS FOLLOWS:

RESULT NAME: RICHARD CHARLES ALBERT HOLBROOKE

DOB: 04/24/1941

POB: NEW YORK, NY

SSAN: 132-32-3096

CURRENT ADDRESS: 211 CENTRAL PARK
NEW YORK, NY 10024

EMPLOYMENT: CREDIT SUISSE FIRST BOSTON
ELEVEN MADISON AVE NEW YORK, NY 10010

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CLOSE RELATIVES

RESULT	NAME	DOB	RESIDENCE
<u>NR</u>	TRUDI HOLBROOKE KEARL	09/15/1920	344 SPRAIN RD SCARSDALE, NY
<u>NR</u>	NEE: TRUDI MOOS		
<u>NR</u>	STANLEY KEARL	12/22/1913	344 SPRAIN RD SCARSDALE, NY

See Attached

QW.DCFBIWAA6.NAM/HOLBROOKE, RICHARD CHARLES A .DOB/042441.SOC/132323096

DCFBIWAA6

NO NCIC WANT SOC/132323096

NO NCIC WANT DOB/042441 NAM/HOLBROOKE, RICHARD CHARLES A

QW.DCFBIWAA6.NAM/KEARL, TRUDI HOLBROOKE .DOB/091520

DCFBIWAA6

NO NCIC WANT DOB/091520 NAM/KEARL, TRUDI HOLBROOKE

QW.DCFBIWAA6.NAM/MOOS, TRUDI .DOB/091520

DCFBIWAA6

NO NCIC WANT DOB/091520 NAM/MOOS, TRUDI

QW.DCFBIWAA6.NAM/KEARL, STANLEY .DOB/122213

DCFBIWAA6

NO NCIC WANT DOB/122213 NAM/KEARL, STANLEY

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TO: NEXIS -
FROM:
SPECIAL INQUIRY & GENERAL BACKGROUND INVESTIGATIONS, 4383,

b6
b7c

SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE

BUDED: 07/07/1998

THE BUREAU HAS BEEN REQUESTED TO CONDUCT AN EXPEDITE
BACKGROUND INVESTIGATION OF THE ABOVE-CAPTIONED SUBJECT, WHO IS
BEING CONSIDERED FOR PRESIDENTIAL APPOINTMENT. YOU ARE REQUESTED
TO CHECK APPROPRIATE INDICES BASED UPON AVAILABLE INFORMATION
CONCERNING SUBJECT, EMPLOYMENT, AND ALL CLOSE RELATIVES. IT IS
REQUESTED THAT THE RESULTS OF YOUR CHECK, WHETHER POSITIVE OR
NEGATIVE, BE INDICATED IN THE SPACES PROVIDED BELOW, AND RELAYED
TO THE SPECIAL INQUIRY & GENERAL BACKGROUND INVESTIGATIONS,
VIA ROUTING SLIP
MARKED 'URGENT'.

RM 4383,

SUBJECT IS DESCRIBED AS FOLLOWS:

RESULT NAME: RICHARD CHARLES ALBERT HOLBROOKE
+/-
DOB: 04/24/1941 POB: NEW YORK, NY
SSAN: 132-32-3096
CURRENT RESIDENCE: 211 CENTRAL PARK
NEW YORK, NY 10024
EMPLOYMENT: CREDIT SUISSE FIRST BOSTON
ELEVEN MADISON AVE NEW YORK, NY 10010

Nyt, lat, wpost

Richard w/2 Holbrooke

48 stories

Fr (Freelance)

CHECK CONDUCTED BY: _____, ON _____
USING THE _____ DATABASE(S) AND THE FOLLOWING
PARAMETERS: _____

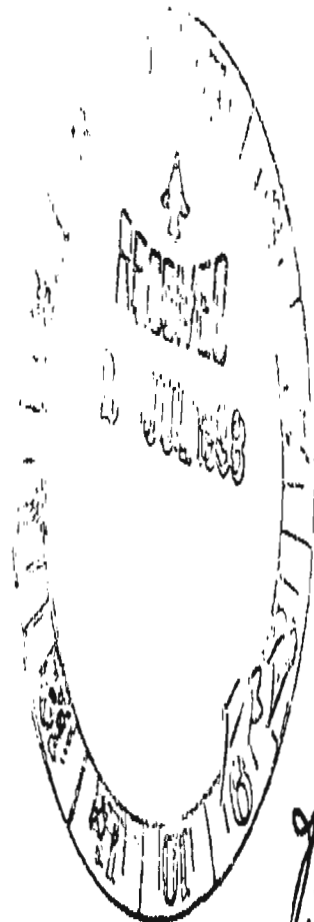
1974 94
89

ALL INFORMATION CONTAINED

HEREIN IS UNCLASSIFIED

DATE 02-14-2011 BY 60324UCBAW/SB/CMM

*01 HOLBROOKE, RICHARD, CHARLES SSN=132323096 DB=410424 SB=NY CB=US
02 DOSSIER LOCATION=DDIS YEAR INDEXED=88 NUMBER=264DR105501BCF
CONTEXT=SUBJECT RETENTION=15 YRS CLOSED DATE=



4/18/98

JUL-02-1998 12:16

SIGBIU

202 324 2574 P.02/02

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED
DATE 02-14-2011 BY 60324UCBAW/SB/CMW

HOLBROOKE, RICHARD, CHARLES SSN=132323096 DB=410424 SB=NY CB=US
DOSSIER LOCATION=DDIS YEAR INDEXED=88 NUMBER=264DR105501BCF
CONTEXT=SUBJECT RETENTION=15 YRS CLOSED DATE=

B101 98/07/02 11:01:12 SSN SEARCH

~~ADDITIONAL INFORMATION MAY BE
OBTAINED FROM~~

ADDITIONAL INFORMATION MAY BE
OBTAINED FROM

Dept of State

ATTN:



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WFO 161A-HQ-1256328

EMD:emd

1

RECORD CHECK

DRIVER'S RECORD

GOVERNMENT OF THE DISTRICT OF COLUMBIA
Department of Public Works
Bureau of Motor Vehicle Services
Commercial Drivers License (CDL) Room 1011
Washington, D.C.

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b7C

On July 9, 1998, [REDACTED]
(IA), Federal Bureau of Investigation (FBI), Washington Field
Office (WFO), Washington, D.C., conducted a computerized search
at the above captioned agency in order to acquire any driver's
record information concerning, RICHARD CHARLES ALBERT HOLBROOKE,
born April 24, 1941. A review of the records disclosed the
following information:

DRIVER'S RECORD:

NAME: Richard C. Holbrooke
ADDRESS: 1215 29th Street, NW
Washington, DC 20007
DOB: 04/24/41
SSN: 132-32-3096

PERMIT RECORD

According to the information available as of 07/09/98,
the above named individual's operator privilege status is legal
and DC permit status is disclosed in the following information
listed below:

OPERATOR'S PERMIT: DC 132323096
STATUS: Expired
EXPIRATION: 02/17/97

No additional information was obtained.

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED
DATE 02-14-2011 BY 60324UCBAW/SB/CMW

WFO 161A-HQ-1256328

CDM:cdm

1

RECORD CHECK

UNITED STATES SECRET SERVICE (USSS)
Investigative Support Division (ISD)
1800 G Street, Northwest,
Washington, D.C.

On July 9, 1998, Investigative Analyst (IA) [REDACTED]
[REDACTED] caused a search to be made of the files of the United
States Secret Service (USSS), Department of Treasury, Washington,
D.C., concerning RICHARD CHARLES ALBERT HOLBROOKE.

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On July 9, 1998, [REDACTED] Special Agent, ISD,
USSS, advised IA [REDACTED] that no record could be located
concerning the above-mentioned individual.

WFO 161A-HQ-1256328

CDM/cdm

1

RECORD CHECK

U.S. DEPARTMENT OF JUSTICE
Public Integrity Section
Criminal Division
1400 New York Avenue, N.W.,
Washington, D.C.

On July 9, 1998, Investigative Analyst (IA) [REDACTED]
[REDACTED] caused a search to be made of the files of the U.S.
Department of Justice (DOJ), Criminal Division, Public Integrity
Section, Washington, D.C., concerning RICHARD CHARLES ALBERT
HOLBROOKE.

b6
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[REDACTED] Public
Integrity Section, DOJ, advised IA [REDACTED] that a search of the
files concerning the above-mentioned individual was met with
negative results.

WFO 161A-HQ-1256328
TMS:tms

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LAW ENFORCEMENT AGENCY CHECK

NATIONAL PARK SERVICE
United States Park Police Department
1100 Ohio Drive, Southwest
Washington, D.C.

[REDACTED] On July 9, 1998, Investigative Analyst (IA) [REDACTED]
[REDACTED] caused a search to be made of the files of the United
States Park Police Department, 1100 Ohio Drive, Southwest,
Washington, D.C., concerning RICHARD CHARLES ALBERT HOLBROOKE.

b6
b7C

On July 9, 1998, [REDACTED] advised
that no identifiable Adult Criminal record could be located
concerning HOLBROOKE.

WFO 161A-HQ-1256328

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RECORD CHECK

FEDERAL DEPOSIT INSURANCE CORPORATION

Compliance Section and Consumer Affairs
1730 Pennsylvania Avenue
Washington, D.C.

On July 7, 1998, Investigative Analyst (IA) [REDACTED] received and initiated a search at the above captioned agency in an effort to obtain any pertinent information regarding, RICHARD CHARLES ALBERT HOLBROOKE.

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b7C

On July 9, 1998, [REDACTED] Information Analyst, advised that no identifiable record could be located regarding HOLBROOKE.

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED
DATE 02-14-2011 BY 60324UCBAW/SB/CMW

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WFO 161A-HQ-1256328
ASE:ase

RECORD CHECK

b6
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SECURITIES AND EXCHANGE COMMISSION (SEC)
Office of the Inspector General/Security Office
450 5th Street, Northwest
Washington, D.C.

On July 9, 1998, [REDACTED] to the Inspector General, Inspector General Office, SECURITIES AND EXCHANGE COMMISSION (SEC), Washington, D.C., was contacted by Investigative Analyst (IA) [REDACTED] concerning RICHARD CHARLES ALBERT HOLBROOKE, Date of Birth: April 24, 1941; Place of Birth: New York, New York; Social Security Account Number: 132-32-3096; and his affiliate companies, CREDIT SUISSE FIRST BOSTON, Eleven Madison Avenue, New York, New York, 10010; LEHMAN BROTHERS, INC., 200 Vesey Street, New York, New York, 10285; and PUBLIC STRATEGIES, 2550 M Street, Northwest, Washington, D.C.,

On July 9, 1998, [REDACTED] advised IA [REDACTED] that no identifiable record/information could be located regarding RICHARD CHARLES ALBERT HOLBROOKE or his affiliate companies, CREDIT SUISSE FIRST BOSTON, LEHMAN BROTHERS, INC. and PUBLIC STRATEGIES.

[REDACTED] further advised IA [REDACTED] that their Inspector General Office and Security Office are combined. [REDACTED] indicated that SEC's Inspector General's Office maintains/handles all security matters involving any violations/infractions by employees. [REDACTED] also indicated that their agency investigates any federal violations and infractions under the United States Code (USC).

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED
DATE 02-14-2011 BY 60324UCBAW/SB/CMW

WFO 161A-HQ- 1256328
PSD:psd
1

RECORD CHECK

United States Department of State
Office of the Inspector General
Metro Building, Room 910
Rosslyn, Virginia

The following investigation was conducted by
Investigative Analyst (IA) [REDACTED] on July 9, 1998
regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE:

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[REDACTED] of the United States Department of State,
Office of Inspector General advised that there was no record
involving RICHARD CHARLES ALBERT HOLBROOKE.

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WFO 161A-HQ-1256328

PSD:psd

1RECORD CHECK

United States Department of State
Office of Security
2121 Virginia Avenue, 4th Floor
Washington, D.C.

The following investigation was conducted by
Investigative Analyst (IA) [REDACTED] on July 9, 1998,
regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE:

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Referral/Consult

WFO 161A-HQ- 1256328

PSD:psd

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OFFICIAL PERSONNEL FOLDER (OPF)

United States Department of State
Office of Personnel
Room 1609
Washington, D.C.

Referral/Consult
b/c

The following investigation was conducted by
Investigative Analyst (IA) [REDACTED] on July 9, 1998,
regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE:

7/12/62

9/12/62

9/17/62

10/14/62

1/20/63

5/26/63

5/22/65

WFO 161A-HQ-1256328
PSD:psd

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DATE 02-14-2011 BY 60324UCBAW/SB/CMW

WHITE HOUSE OFFICIAL PERSONNEL FOLDER

Office of Human Resources Management
Office of Administration
Executive Office of the President
Room 4013
New Executive Office Building
725 17th Street, N.W.
Washington, D.C.

The following investigation was conducted by
Investigative Analyst (IA) [REDACTED] on July 9, 1998,
regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE:

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There was no Official Personnel Folder for RICHARD
CHARLES ALBERT HOLBROOKE at the Office of Human Resources
Management.

WFO 161A-HQ-1256328

CET:mlp

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ARREST CHECK

UNITED STATES DEPARTMENT OF JUSTICE
Office of the United States Attorney
Judiciary Center
555 Fourth Street, N.W.,
Washington, D.C. 20001

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On July 8, 1998, the following investigation was initiated by Investigative Analyst (IA) [REDACTED] at captioned agency concerning the appointee, RICHARD CHARLES ALBERT HOLBROOKE.

On July 10, 1998, [REDACTED] U.S. Attorney's Office, Narcotics, Public Corruption, Economic Crime, Transnational and Major Crime Unit, advised IA TREAKLE that no identifiable record could be located regarding the appointee.

On July 8, 1998, IA [REDACTED] caused a search to be made of the files of the Civil Division.

On July 10, 1998, [REDACTED] of the Civil Division advised IA PETERBARK that no identifiable record could be located regarding the appointee.

It should be noted that the index system of the Civil Division, U.S. Attorney's Office (USAO) contains only names of plaintiffs, except in civil actions brought by the United States against a particular defendant. Suits against government employees who are represented by the United States Attorney would be filed by plaintiff's name and docket number.

WFO 161A-HQ-1256328

CH

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RECORD CHECK

FEDERAL RESERVE BOARD
Office of the Inspector General
20th and C. Street, Northwest
Washington, D.C.

On July 9, 1998, Investigative Analyst (IA) [REDACTED]
received and initiated a search of the records at the above
captioned office concerning RICHARD CHARLES ALBERT HOLBROOKE.

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On July 10, 1998, [REDACTED] Senior Special Agent,
advised that no identifiable record could be located regarding
HOLBROOKE.

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DATE 07-26-2011 BY 60324UCBAW/SB/CM

DEFENSE INVESTIGATIVE SERVICE
NATIONAL AGENCY CHECK

FBI CENTRAL RECORDS SYSTEM
RESPONSE TO AN AUTOMATED INDICES RECORD CHECK
(DOES NOT INCLUDE A FINGERPRINT CHECK)

DATE: 8/10/88

CIDN: 0881808008

NAME: HOLBROOKE, RICHARD CHARLES

AKA:

DOB: 04/24/41

POB: NY

SOC: 132-32-3096

SEX: M

RACE: W

ADDR:

EMPL:

MISC:

SEQUENCE NO: 893904

ORI NO: USD15000Z

TL 114

NR

DATE

NR

TO: FR

FR

DATE

NR

TO: EAU

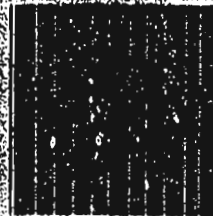
EAU

DATE

SPECIAL

This reply is a result of a
check of FBI Headquarters
investigative files only. To
check an: esp records, request
must be submitted to FBI
Identification Division.
Fingerprints are necessary
for a positive check.

In response to your request
there are attached
reports which may relate
to the subject of your inquiry.



0881808008

A SEARCH OF THE AUTOMATED CENTRAL INDICES OF FBI HEADQUARTERS BASED UPON DATA SUBMITTED AND LIMITED PURSUANT TO ESTABLISHED
POLICY LOCATED NO IDENTIFIABLE INFORMATION PERTINENT TO YOUR INQUIRY. THIS SHOULD NOT BE CONSIDERED AS A CLEARANCE BY THE FBI.

EXPEDITE

IMMIGRATION AND NATURALIZATION SERVICE CHECK

ANALYST: [REDACTED] EXT: 3862
SPECIAL INQUIRY & GENERAL BACKGROUND INVESTIGATIONS, ROOM 4371

SUBJECT: RICHARD CHARLES ALBERT H DEADLINE: 07/07/1998
BUREAU FILE NUMBER: 161B-*

THE BUREAU HAS BEEN REQUESTED TO CONDUCT A BACKGROUND
INVESTIGATION OF THE ABOVE-NAMED SUBJECT. SIOU IS REQUESTED TO CHECK
INS RE THE SUBJECT AND/OR CLOSE RELATIVES LISTED BELOW.

SUBJECT: RICHARD CHARLES ALBERT H DOB: 04/24/1941 POB:
NEW YORK, NY

NEE: AKA:
SSAN: 132-32-3096 RESIDENCE: NEW YORK, NY
ALIEN REGISTRATION #: DATE/PLACE OF ENTRY:
NATURALIZATION #: DATE/PLACE:
WAS CITIZENSHIP DERIVED THROUGH PARENTS? YES NO

*NO
Record*

RELATIVE: TRUDI HOLBROOKE KEARL DOB: 09/15/1920 POB:
GERMANY

NEE: AKA: RELATIONSHIP: MOTHER
SSAN: RESIDENCE: SCARSDALE, NY
ALIEN REGISTRATION #: DATE/PLACE OF ENTRY:
NATURALIZATION #: DATE/PLACE:
WAS CITIZENSHIP DERIVED THROUGH PARENTS? YES NO

NO Record

RELATIVE: [REDACTED] DOB: [REDACTED] POB: [REDACTED]

NEE: AKA: RELATIONSHIP: [REDACTED]
SSAN: RESIDENCE: NEW YORK, NY
ALIEN REGISTRATION #: DATE/PLACE OF ENTRY: [REDACTED]
NATURALIZATION #: DATE/PLACE: [REDACTED]
WAS CITIZENSHIP DERIVED THROUGH PARENTS? YES NO

RELATIVE: [REDACTED] DOB: [REDACTED] POB: [REDACTED]

NEE: AKA: RELATIONSHIP: [REDACTED]
SSAN: RESIDENCE: [REDACTED]
ALIEN REGISTRATION #: DATE/PLACE OF ENTRY: [REDACTED]
NATURALIZATION #: DATE/PLACE: [REDACTED]
WAS CITIZENSHIP DERIVED THROUGH PARENTS? YES NO

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RELATIVE: [REDACTED] DOB: [REDACTED] POB: [REDACTED]

NEE: AKA: RELATIONSHIP: [REDACTED]
SSAN: RESIDENCE: [REDACTED]
ALIEN REGISTRATION #: DATE/PLACE OF ENTRY: [REDACTED]
NATURALIZATION #: DATE/PLACE: [REDACTED]

WAS CITIZENSHIP DERIVED THROUGH PARENTS?

YES

NO

EXPEDITE

REQUEST FOR CREDIT CHECK

JUL 8 11 52 AM '98

DATE 07/02/1998

TO: CONTRACTOR
FROM: SPECIAL INQUIRY & GENERAL BACKGROUND INVESTIGATIONS (SIGBIU)

ATTENTION: ROOM 4371 EXT. 3862

RESPONSE CRITERIA	TYPE OF REQUEST
3 WORKDAYS 24 HOURS	SUITABILITY

SUBJECT'S NAME: HOLBROOKE, RICHARD CHARLES ALBE MAIDEN:

DATE OF BIRTH (DOB): 04/24/1941 PLACE OF BIRTH (POB):
NEW YORK, NY

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SEX: M SOCIAL SECURITY ACCOUNT NUMBER (SSAN): 132-32-3096

SPOUSE'S NAME: MAIDEN
AKA:

SUBJECT'S CURRENT
ADDRESS:

SUBJECT'S
ADDRESS(ES)
FOR LAST
SEVEN (7) YEARS: 1527 35TH ST, WASHINGTON, DC 20007
* EMBASSY OF USA *, BONN, GM
213 71ST ST, NEW YORK, NY 10021

ENCLOSURE - RELEASE FORM TO BE ATTACHED

FROM : HYATT REGENCY BELGRADE IMITE PHONE NO. : 381 11 311 3623

Jun. 24 1998 09:20PM P3

Standard Form 86

Revised September 1986

U.S. Office of Personnel Management

5 CFR Parts 731, 732 and 736

ALL INFORMATION CONTAINED

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DATE 02-14-2011 BY 60324UCBAW/SB/CNW

Form approved:

O & P No 3208-0027

NSN 7540-00-934-0036

64-111

UNITED STATES OF AMERICA

AUTHORIZATION FOR RELEASE OF INFORMATION

Carefully read this authorization to release information about you, then sign and date it in ink.

I authorize any investigator, special agent, or other duly accredited representative of the authorized Federal agency conducting my background investigation, to obtain any information relating to my activities from individuals, schools, residential management agents, employers, criminal justice agencies, credit bureaus, consumer reporting agencies, collection agencies, retail business establishments, or other sources of information. This information may include, but is not limited to, my academic, residential, achievement, performance, attendance, disciplinary, employment history, criminal history record information, and financial and credit information. I authorize the Federal agency conducting my investigation to disclose the record of my background investigation to the requesting agency for the purpose of making a determination of suitability or eligibility for a security clearance.

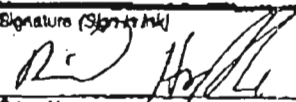
I understand that, for financial or lending institutions, medical institutions, hospitals, health care professionals, and other sources of information, a separate specific release will be needed, and I may be contacted for such a release at a later date. Where a separate release is requested for information relating to mental health treatment or counseling, the release will contain a list of the specific questions, relevant to the job description, which the doctor or therapist will be asked.

I further authorize any investigator, special agent, or other duly accredited representative of the U.S. Office of Personnel Management, the Federal Bureau of Investigation, the Department of Defense, the Defense Investigative Service, and any other authorized Federal agency, to request criminal record information about me from criminal justice agencies for the purpose of determining my eligibility for access to classified information and/or for assignment to, or retention in, a sensitive National Security position, in accordance with 5 U.S.C. 9101. I understand that I may request a copy of such records as may be available to me under the law.

I authorize custodians of records and other sources of information pertaining to me to release such information upon request of the investigator, special agent, or other duly accredited representative of any Federal agency authorized above regardless of any previous agreement to the contrary.

I understand that the information released by records custodians and sources of information is for official use by the Federal Government only for the purposes provided in this Standard Form 86, and that it may be redisclosed by the Government only as authorized by law.

Copies of this authorization that show my signature are as valid as the original release signed by me. This authorization is valid for five (5) years from the date signed or upon the termination of my affiliation with the Federal Government, whichever is sooner. Read, sign and date the release on the next page if you answered "Yes" to question 21.

Signature (Sign in Ink)		Full Name (Type or Print Legibly)		Date Signed
		Richard Charles Albert Holbrooke		06/24/98
Other Names Used			Social Security Number	
			132-32-3096	
Current Address (Street, City)		State	Zip Code	Home Telephone Number (Include Area Code)
211 Central Park West, 8-G, New York		NY	10024	(212) 496-1106

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Prf.

Prf.

2. TRUDI HOLBROOKE
nee: TRUDI KEARL
D/POB: 09/15/20 - GERMANY
CURRENTLY RESIDES: SCARSDALE, NEW YORK

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*May have derived Citizenship
thru his mother, Trudi Holbrooke*



Prf.



07/13/98. MON 13:30 FAX 202 305 1737

INS Records Servs

0006

CIMIDN IMMIGRATION AND NATURALIZATION SERVICE
COMMAND: CENTRAL INDEX SYSTEM - ID # SEARCH/DISPLAY

07/13/98
13:52:17

ID # (A/AA/C/DA/DL) [REDACTED]
(FB/FP/I/PP/SS/ID)

A#:

b6 Per IC
DOB: 00b7C 0

LAST: HOLBROOKE

C # [REDACTED]

FIRST: TRUDI

ALL FBI INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED

NATZ DATE: 091521

MIDDLE:

DATE 07-26-2011 BY 60324UCBAW/SB/CMW

COURT: 2270

ALIASES:

LOCATION: NYC

SEX: POE: COB: GERMA DOE: 000000

FCO: NYC COA: USC COC:

FATHER:

PFCO: SFCO: DFO: 071398 BIN:

MOTHER:

SSN:

CONSOLIDATED A-NOS --OTHER INFORMATION--

I-94 ADM #:

PASSPORT #:

FBI #:

DRIVER LIC:

FINGER CD#:

b7E Per IC

2

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DATE 02-15-2011 BY 60324UCBAW/SB/CMW

July 2, 1998**TO: INVESTIGATION BACKGROUND BRANCH (IB)****OPM****ATTN:** **FROM: SPECIAL INQUIRY & GENERAL BACKGROUND
INVESTIGATIONS UNIT (SIGBIU) FBIHQ****NAME****DOB****SSAN****HOLBROOKE, RICHARD CHARLES ALBERT 04/24/41****132-32-3096 - New York, N****aka: HOLBROOKE, RICHARD****aka: HOLBROOKE, RICHARD CHARLES****aka: HOLBROOKE, RICHARD ALBERT****aka: HOLBROOKE, RICHARD C. A.****OFI-79-PRI 7/6/94 D/State****OFI-79-BI 6/28/94 FBI****79 Not-Other BI 7/1/93 D/State.****OFI-79 7/4/85****Please fax results to SIGBIU Fax (202) 324-2574, Any questions please contact****... THANKS!**

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1137 Branchton Road • Annandale, PA 16018-0026 • Phone: (412) 794-4498 • Fax: (412) 794-6616

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724

OPM/EEPC Comm

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FACSIMILE TRANSMISSION

PAGE 1 OF 2
FAX NUMBER: 202-324-2574
DATE: 2/2/98

TO: SON: SOT: DJ02
ATTN: [Redacted]
FROM: [Redacted]
SENDER'S PHONE NUMBER: [Redacted]
SUBJECT: Spin

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COMMENTS

THE DOCUMENTS ACCOMPANYING THIS TELECOPY TRANSMISSION MAY CONTAIN SENSITIVE INFORMATION WHICH IS PRIVILEGED.
THE INFORMATION IS INTENDED ONLY FOR THE USE OF THE RECIPIENT. IF YOU HAVE RECEIVED THIS TELECOPY IN ERROR, PLEASE
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PRODUCED IS HIGHLY UNSTABLE AND WILL DETERIORATE SIGNIFICANTLY IN A FEW YEARS. IT SHOULD BE COPIED ON A PLAIN PAPER
COPIER PRIOR TO FILING.**

USIS HQ-005

A2

Don't
WFO rpt 11/20/76

HOLBROOKE, Richard Charles

Files of the following police departments were negative regarding APPLICANT as of the date indicated:

Metropolitan Police, Washington, D.C. - November 26, 1976

CREDIT:

Referral/Consult

Files of the Credit Bureau, Washington, D.C., were reviewed on November 26, 1976, and were non-derogatory concerning APPLICANT.



CSC:

On November 26, 1976 the Security Investigations Index located at the Civil Service Commission, Washington, D.C., was searched in the name of APPLICANT and reflected that the FBI initiated an investigation for the White House on July 25, 1966 and that the Department of State initiated an investigation on April 26, 1962.

On this same date, [redacted] was reviewed at the Commission. Contained therein were results of a National Agency Check with inquiries processed October 3, 1973 for the Federal Trade Commission. The file also contained an FBI Memo dated August 26, 1966 at Washington, D.C., concerning [redacted]. The Memo reflected in part, the following information:

In May 1971, an informant who has furnished reliable information in the past, advised that the name and address of APPLICANT, Brown University, were contained in the records of the Forum for Civil Liberties and the Fair Play for Cuba Committee at Brown University. The informant was unable to advise the significance of this information.

[redacted] whose comments are set forth hereinbefore, advised that the Forum for Civil Liberties was active at Brown University only in 1961. He said it was organized by a group at Brown University and Pembroke College students who held meetings and speakers were invited for group discussions of current events and interest. He said it was moderate in nature and had very few members.

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HOLBROOKE, Richard Charles

The Fair Play for Cuba Committee was organized in New York City in April 1950 and served as Fidel Castro's propaganda arm in the United States until the assassination of the former President John F. Kennedy, when it became inactive. At one time, the Fair Play for Cuba Committee had chapters throughout the United States and many of these chapters came under the domination of the Socialist Workers Party or the Communist Party, U.S.A.

The Socialist Workers Party has been designated pursuant to Executive Order 10450.

The Central Files of the FBI including the files of the Identification Division, contain no additional pertinent information concerning APPLICANT. No additional pertinent information was contained in this file.

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FBI:

Criminal Records of the FBI were checked by name only on November 24, 1976 concerning APPLICANT and reflected no prior arrest record.

The report of FBI Investigative Records was hand carried to SY Headquarters on November 29, 1976.

MISCELLANEOUS

APPLICANT was assisted in preparing his Form 86, on November 24, 1976. At this time, APPLICANT stated that there is an overlap in his employments with the Department of State and Foreign Policy Magazine. He indicated that from 1972 to 1974 he was legally designated as a Foreign Service Officer however, he was on leave without pay from the State Department working for and being paid by Foreign Policy Magazine, 11 Dupont Circle, Washington, D.C.

When preparing item 20, foreign countries visited, APPLICANT stated that he has visited nearly every country between Italy and Japan, except the Bloc countries, he added that all travel was in conjunction with his official duties with the Department of State or his employment with Foreign Policy Magazine. APPLICANT indicated that his only travel to a Bloc Country occurred in November 1975 when he visited East Berlin. He stated that the purpose of this visit was a meeting with Ambassador [redacted] and that he remained in East Berlin for approximately three hours. He stated that he crossed the border in an official limousine provided by Ambassador [redacted]. He further added that following this meeting, he visited the National Museum in East Berlin with a member of Ambassador's [redacted] Staff. He continued that during this short visit he had no contact with East German Personnel.

(01/26/1998)

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DATE 02-15-2011 BY 60324UCBAW/SB/CMW

FEDERAL BUREAU OF INVESTIGATION

Precedence: DEADLINE 07/28/1998

Date: 07/02/1998

To: Los Angeles
New York
St. Louis
Washington Field

Attn: Squad A-1

From: Administrative Services

SIGBIU/Room 4371

Contact: PSS [REDACTED]

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Approved By: [REDACTED] *MB*

Drafted By: [REDACTED]

Case ID #: 161A-HQ-1256328 (Pending)

Title: RICHARD CHARLES ALBERT HOLBROOKE
LEVEL I - PAS

Synopsis: Initiation of full-field background investigation
(FFI) on captioned candidate.

Administrative: BUDED is 7/28/98.

NOTE: As a result of discussions with representatives of the White House (WH), for which the FBI conducts FFIs, changes in certain procedures/policy involving those FFIs have been made. These changes must be followed when conducting WH FFIs (including Presidential appointments requiring Senate confirmation for Federal judgeships and certain DOJ positions). The changes are addressed below.

All WH FFIs conducted by the FBI are initiated within the 161 classification except as follows: FFIs for certain Federal judgeships, and all DOJ positions requiring Senate confirmation, are initiated under the 77A subclassification. These FFIs vary in scope depending upon the position for which the candidate is being considered. They are conducted using only the SF-86 and its accompanying release forms.

In 9/95, the SF-86 and one of its accompanying release forms were revised. Additionally, a second accompanying release form was created to be used when obtaining medical information about a candidate. As a result of instructions issued by the Office of Management and Budget regarding these revisions, and other considerations, SIGBIU management contacted WH representatives to discuss the scope of our FFIs, especially with respect (although not limited) to the areas of mental health and

161A-HQ-1256328-3

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ALL INFORMATION CONTAINED
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DATE 02-15-2011 BY 60324UCBAW/SB/CMW

To: Los Angeles From: Administrative Services
Re: 161A-HQ-2004612, 07/02/1998

alcohol related counseling, prior illegal drug use, prescription drug abuse, and other drug activity. As a result of these discussions, changes in certain policy involving FFIs conducted by the FBI for the WH have been made. These changes are addressed below and must be followed in this FFI, and all future FFIs conducted for the WH, unless otherwise instructed by the SIGBIU, FBIHQ. Except for these changes, investigation in all other areas addressed in these FFIs is to remain the same.

RECEIVING OFFICES ARE TO ENSURE THAT A COPY OF THIS EC IS PROVIDED TO EACH INDIVIDUAL (I.E., BUREAU EMPLOYEE OR BICS SPECIAL INVESTIGATOR) CONDUCTING INVESTIGATION IN CAPTIONED MATTER. Additionally, when sending followup leads to other field offices/BICS Regions not known to be involved in captioned matter, "ensure" that a copy of this EC is provided to those field offices/BICS Regions.

To the extent that they do not conflict with the policy/procedure changes herein, the investigative guidelines set forth in MIOG, Part I, Sections 77 and 161, and Part II, Section 17, are to be referred to for assistance in conducting investigation in captioned matter. However, to the extent those guidelines are in conflict with the changes, the guidelines are to be disregarded and the changes followed.

POLICY CHANGES

I. CANDIDATE INTERVIEWS

Regardless of the scope, i.e., the timeframe, to be addressed in candidate's FFI, the "INITIAL" candidate interview is to address each of those areas set forth in MIOG, Part II, Section 17-5.6(1)(a)-(n), for the candidate's entire adult life, i.e., since his/her 18th birthday, EXCEPT FOR COUNSELING. Only information pertaining to counseling received by the candidate "WITHIN THE SCOPE OF THE FFI (but not prior to his/her 18th birthday)" is to be solicited and addressed, and then, only as specifically set forth below under the "COUNSELING/COUNSELOR INTERVIEWS" section.

When addressing each of the areas with the candidate, he/she is to be advised that responses to all questions asked are to address candidate's entire adult life (i.e., since his/her 18th birthday), except for counseling which must be addressed as set forth in Section II, "Counseling/Counselor Interviews", below. The fact that questions addressing each of the areas were asked, as well as candidate's responses thereto and knowledge of their scope, must be clearly set forth in the FD-302 reflecting the results of the candidate's interview.

To: Los Angeles From: Administrative Services
Re: 161A-HQ-2004612, 07/02/1998

If the candidate refuses to answer any question, that is to be clearly set forth in the FD-302 reflecting the results of the candidate's interview. An effort should be made to obtain from the candidate an explanation for refusing to answer and, if provided, the explanation is also to be reported in the FD-302. If the candidate refuses to provide an explanation, that also is to be reported. Thereafter, no further efforts to obtain a response to the question candidate refused to answer should be made, unless instructed by SIGBIU, FBIHQ.

II. COUNSELING/COUNSELOR INTERVIEWS

A. Counseling information to be solicited from the candidate is to be limited only to that information set forth in questions 21 and 25 of candidate's SF-86, except that the information is to cover "only" the scope of candidate's FFI (but not prior to his/her 18th birthday). For example, if the scope of candidate's FFI is 15 years, then counseling information solicited from the candidate, and to be addressed in the FFI, must be limited to the last 15 years or since candidate's 18th birthday, whichever is less. Counseling which occurred outside the scope of the candidate's FFI is "not" to be solicited or addressed, unless otherwise instructed by SIGBIU, FBIHQ.

NOTE: The new policy also prohibits marriage, family, or grief counseling from being solicited and addressed, except where violence by the candidate is involved.

B. For interviews of counselors, a copy of an executed "Authorization for Release of Medical Information" form must be utilized. NOTE: The questions which can be asked of counselors are limited. In addition to verifying the dates of the counseling, the questions asked are to be "limited only to the three questions set forth on the aforementioned release." The counselor is to be instructed to provide only that information he/she believes is responsive to each of the three questions. Each question is to be specifically asked and answered, and responses to each clearly reported in the FD-302/insert reflecting the interview results.

Because information concerning counseling is limited to the scope of the FFI, if the candidate voluntarily provides counseling information which occurred outside the scope of the BI, that information is to be fully explored with the candidate only during his/her interview, recorded and reported. However, no additional investigation is to be conducted concerning the information, unless instructed to do so by SIGBIU, FBIHQ. The fact that the information beyond the scope of the FFI was volunteered by the candidate, and not solicited (except as further explored with the candidate) by the FBI, must also be

To: Los Angeles From: Administrative Services
Re: 161A-HQ-2004612, 07/02/1998

clearly set forth in the FD-302 reflecting the results of the candidate's interview.

III. THIRD-PARTY INTERVIEWS

The area of bias and prejudice is to be addressed during interviews of persons knowledgeable of the candidate in "all" 161 classification FFIs. Prior policy required that this area be addressed only in FFIs involving Presidential appointments.

Ensure to conduct investigation as set forth under the "Lead(s)" section herein and/or as marked on the enclosed SF-86.

Field offices/BICS Regions are reminded that neither the investigative status of a background investigation nor any deadlines are to be disclosed to the candidate or any interviewees. Candidates making inquiries of the status of their investigation are to be referred to the client entity.

Direct results/questions to PSS [] supra.
Advise SIGBIU (PSS [] and appropriate field offices of any derogatory information in accordance with MIOG, Part II, Section 17-5.1(1). If Buded will not be met, telephonically advise PSS [] and set forth reason(s) in Administrative Section of investigative report. SIGBIU facsimile numbers are (202) 324-1865, (202) 324-4504, (202) 324-2574, and (202) 324-1373.

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Enclosures: Being forwarded to each field office/BICS Region with a hard copy of this EC, via Bureau mail, is one copy each of the following: candidate's SF-86 dated 6/24/98, Authorization for Release of Information dated 6/24/98, and Authorization for Release of Medical Information dated 6/24/98.

Details: Bureau has been requested by the WH to conduct a Level I FFI of candidate. After reviewing the information in this EC (ESPECIALLY NOTING POLICY CHANGES SET FORTH IN THE "ADMINISTRATIVE SECTION") and its enclosures, conduct investigation set forth under the "Lead(s)" section herein and/or as marked on the enclosed SF-86. Ensure that each individual conducting investigation in this matter is provided a copy of this EC. SIGBIU is not yet in receipt of several prior BIs conducted on candidate by FBI, DIS and DOS. When received by SIGBIU, additional leads may be set.

To: Los Angeles From: Administrative Services
Re: 161A-HQ-2004612, 07/02/1998

LEAD (s):

Set Lead 1:

LOS ANGELES

AT LOS ANGELES, CA

Interview former Secretary of State Warren Christopher. Attempt to develop and set appropriate leads to interview individuals who can comment on candidate's position as chief negotiator for the Dayton Peace Accord in Bosnia.

Set Lead 2:

NEW YORK

AT NEW YORK, NY

Conduct candidate interview. Ascertain information necessary to verify current wife's citizenship and set appropriate leads for same. Check U.S. Attorney's Office. Ensure at least fifteen individuals knowledgeable of the candidate are interviewed.

Set Lead 3:

WASHINGTON FIELD

AT WASHINGTON, DC

During employment investigation at DOS, also verify 1995 position as chief negotiator for the Dayton Peace Accord in Bosnia, as well as his June, 1997, position as special Presidential envoy for Cyprus. Review OPF/IG/SY at DOS. Check White House Office. Check USSS. Check PIS at DOJ. Check U.S. Attorney's Office. Check FDIC; SEC; Federal Reserve; and Office of the Comptroller of the Treasury. Ensure at least fifteen individuals knowledgeable of candidate are interviewed.

♦♦

5 WHERE YOU HAVE LIVED

List the places where you have lived, beginning with the most recent (#1) and working back 7 years. All periods must be accounted for in your list. Be sure to indicate the actual physical location of your residence: do not use a post office box as an address, do not list a permanent address when you were actually living at a school address, etc. Be sure to specify your location as closely as possible: for example, do not list only your base or ship, list your barracks, number or home port. You may omit temporary military duty locations under 90 days (list your permanent address instead), and you should use your APO/FPO address if you lived overseas.

For any address in the last 5 years, list a person who knew you at that address, and who preferably still lives in that area (do not list people for residences completely outside this 5-year period, and do not list your spouse, former spouses, or other relatives). Also for addresses in the last five years, if the address is "General Delivery," a Rural or Star Route, or may be difficult to locate, provide direction for locating the residence on an attached continuation sheet.

Month/Year	Month/Year	Street Address	Apt. #	City (Country)	State	ZIP Code
#1	2/96 To Present	211 Central Park West	8-G	New York	NY	10024
					NY	10021
#2	08/94 To 2/96	1527 35th St. NW		Washington	DC	20007
				Washington	DC	20008
#3	9/93 To 8/94	Residence- Embassy of USA		Bonn Germany		
				Washington	DC	20220
#4	8/88 To 9/93	213 E. 71st St.	5	New York	NY	10021
#5	1981 To 1988	1215 29th St. NW		Washington	DC	20016
				Washington	DC	20008

10 WHERE YOU WENT TO SCHOOL

List the schools you have attended, beyond Junior High School, beginning with the most recent (#1) and working back 7 years. List College or University degrees and the dates they were received. If all of your education occurred more than 7 years ago, list your most recent education beyond high school, no matter when that education occurred.

- Use one of the following codes in the "Code" block:

1 - High School

2 - College/University/Military College

3 - Vocational/Technical/Trade School

- For schools you attended in the past 3 years, list a person who knew you at school (an instructor, student, etc.). Do not list people for education completely outside this 3-year period.

- For correspondence schools and extension classes, provide the address where the records are maintained.

Month/Year	Month/Year	Code	Name of School	Degree/Diploma/Other	Month/Year Awarded
#1	1969 To 1970	3	Princeton University (Woodrow Wilson)	Visiting Fellow No degree	
			Princeton		
#2	1958 To 1962	2	Brown University	B.A.	6/62
			Providence		
#3	1955 To 1958	1	Scarsdale H.S.		
			Post Road, Scarsdale		
			David Rusk		

Enter your Social Security Number before going to the next page

→ 132-32-3096

11 YOUR EMPLOYMENT ACTIVITIES

List your employment activities, beginning with the present (#1) and working back 7 years. You should list all full-time work, part-time work, military service, temporary military duty locations over 90 days, self-employment, other paid work, and all periods of unemployment. The entire 7-year period must be accounted for without breaks, but you need not list employments before your 16th birthday. **EXCEPTION:** Show all Federal civilian service, whether it occurred within the last 7 years or not.

• **Code.** Use one of the codes listed below to identify the type of employment:

- | | | | |
|-----------------------------------|--|--|-----------|
| 1 - Active military duty stations | 5 - State Government (Non-Federal employment) | 7 - Unemployment (Include name of person who can verify) | 9 - Other |
| 2 - National Guard/Reserve | 6 - Self-employment (Include business name and/or name of person who can verify) | 8 - Federal Contractor (List Contractor, not Federal agency) | |
| 3 - U.S.P.H.S. Commissioned Corps | | | |
| 4 - Other Federal employment | | | |

• **Employer/Verifier Name.** List the business name of your employer or the name of the person who can verify your self-employment or unemployment in this block. If military service is being listed, include your duty location or home port here as well as your branch of service. You should provide separate listings to reflect changes in your military duty locations or home ports.

• **Previous Periods of Activity.** Complete these lines if you worked for an employer on more than one occasion at the same location. After entering the most recent period of employment in the initial numbered block, provide previous periods of employment at the same location on the additional lines provided. For example, if you worked at XY Plumbing in Denver, CO, during 3 separate periods of time, you would enter dates and information concerning the most recent period of employment first, and provide dates, position titles, and supervisors for the two previous periods of employment on the lines below that information.

Month/Year	Month/Year	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank	b6	b7C
#1	2/96	Present	9	Credit Suisse First Boston	Vice Chairman	
Employer's/Verifier's Street Address			City (Country)	State	ZIP Code	Telephone Number
Eleven Madison Avenue			New York	NY	10010	(212) 325-4441
Street Address of Job Location (if different than Employer's Address)			City (Country)	State	ZIP Code	Telephone Number
						() 325-4441
different than Job Location)			City (Country)	State	ZIP Code	Telephone Number
PREVIOUS PERIODS OF ACTIVITY (Block #1)	Month/Year	Month/Year	Position Title	Supervisor		
	To					
	Month/Year	Month/Year	Position Title	Supervisor		
	To					
#2	8/94	To 2/96	4	Department of State	Asst. Secretary of State European + Canadian Affairs	
Employer's/Verifier's Street Address			City (Country)	State	ZIP Code	Telephone Number
2201 C St. NW			Washington	DC	20520	(202) 647-962
Street Address of Job Location (if different than Employer's Address)			City (Country)	State	ZIP Code	Telephone Number
						() 647-9626
Supervisor's Name & Street Address (if different than Job Location)			City (Country)	State	ZIP Code	Telephone Number
Warren Christopher, Secretary of State			Los Angeles	CA		(310) 246-675
PREVIOUS PERIODS OF ACTIVITY (Block #2)	Month/Year	Month/Year	Position Title	Supervisor		
	To					
	Month/Year	Month/Year	Position Title	Supervisor		
	To					
#3	9/93	To 8/94	4	US Embassy	US Ambassador to Germany	
Employer's/Verifier's Street Address			City (Country)	State	ZIP Code	Telephone Number
US Embassy			Bonn Germany			()
Street Address of Job Location (if different than Employer's Address)			City (Country)	State	ZIP Code	Telephone Number
						()
Supervisor's Name & Street Address (if different than Job Location)			City (Country)	State	ZIP Code	Telephone Number
Warren Christopher			Los Angeles	CA		(310) 246-67
PREVIOUS PERIODS OF ACTIVITY (Block #3)	Month/Year	Month/Year	Position Title	Supervisor		
	To					
	Month/Year	Month/Year	Position Title	Supervisor		
	To					

Enter your Social Security Number before going to the next page

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YOUR EMPLOYMENT ACTIVITIES (CONTINUED)

Month/Year	Month/Year	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank			
#4	4/85 To 9/93	9	Lehman Brothers Inc.	Managing Director			
Employers/Verifiers Street Address			City (Country)	State	ZIP Code	Telephone Number	
200 Vesey Street			New York	NY	10285	(212) 298-4197	
Street Address of Job Location (if different than Employer's Address)			City (Country)	State	ZIP Code	Telephone Number	
			New York	NY		()	
Location)			City (Country)	State	ZIP Code		
			New York	NY			
PREVIOUS PERIODS OF ACTIVITY (Block #4)	Month/Year	Month/Year	Position Title	Supervisor			
	To						
	Month/Year	Month/Year	Position Title	Supervisor			
	To						
concurrently	Month/Year	Month/Year	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank		
	#5	3/81 To 4/85	9	Public Strategies (no longer exists)	Vice President		
	Employers/Verifiers Street Address			City (Country)	State	ZIP Code	Telephone Number
	2550 M St. NW			Washington	DC	20037	()
Street Address of Job Location (if different than Employer's Address)			City (Country)	State	ZIP Code	Telephone Number	
			Washington	DC	20016	()	
PREVIOUS PERIODS OF ACTIVITY (Block #5)	Month/Year	Month/Year	Position Title	Supervisor			
	To						
	Month/Year	Month/Year	Position Title	Supervisor			
	To						
#6	Month/Year	Month/Year	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank		
	1/77 To 1/81	4	Department of State	Asst. Secretary of State East Asian + Pacific Affairs			
	Employers/Verifiers Street Address			City (Country)	State	ZIP Code	Telephone Number
	2201 C St. NW			Washington	DC	20520	(202) 647-9596
Street Address of Job Location (if different than Employer's Address)			City (Country)	State	ZIP Code	Telephone Number	
						()	
Supervisor's Name & Street Address (if different than Job Location)			City (Country)	State	ZIP Code	Telephone Number	
Cyrus R. Vance, Secretary			New York	NY		(212) 427-2040	
PREVIOUS PERIODS OF ACTIVITY (Block #6)	Month/Year	Month/Year	Position Title	Supervisor			
	To						
	Month/Year	Month/Year	Position Title	Supervisor			
	To						

12 PEOPLE WHO KNOW YOU WELL

List three people who know you well and live in the United States. They should be good friends, peers, colleagues, college roommates, etc., whose combined association with you covers as well as possible the last 7 years. Do not list your spouse, former spouses, or other relatives, and try not to list anyone who is listed elsewhere on this form.

Name	Deputy Secretary	Dates Known	Month/Year	Month/Year	Telephone Number	City (Country)	State	ZIP Code
Home or Work Address	Dept. of State	1977	present		()	Washington	DC	20520
Name	O'Melveney + Myers	Dates Known	Month/Year	Month/Year	Telephone Number	City (Country)	State	ZIP Code
Home or Work Address	Carlisle Group	1977	present		()	Washington	DC	

Enter your Social Security Number before going to the next page

132-32-3096

13 YOUR SPOUSE

Mark one box to show your current marital status and provide information about your spouse(s) in items a, and/or b.

☐ 1 - Never married
☒ 2 - Married☐ 3 - Separated
☐ 4 - Legally Separated☐ 5 - Divorced
☐ 6 - Widowed**a Current Spouse** Complete the following about your current spouse only.

[Redacted] NY [Redacted] Social Security Number [Redacted]	
Other Names Used (Specify maiden name, names by other marriages, etc., and show dates used for each name)	Country(ies) of Citizenship USA
[Redacted] (Place Married. Include country if outside the U.S.)	State
If Separated, Date of Separation	If Legally Separated, Where is the Record Located? City (Country)
Address of Current Spouse, if different than your current address. (Street, city, and country if outside the U.S.)	
State	ZIP Code

b Former Spouse(s) Complete the following about your former spouse(s), use blank sheets if needed.

[Redacted] (if outside the U.S.)	State
Country(ies) of Citizenship	State
USA	State
Check One, Then Give Date ☒ Divorced ☐ Widowed	State
[Redacted] (Place Married. Include country if outside the U.S.)	
[Redacted] (Address of Current Spouse, if different than your current address. (Street, city, and country if outside the U.S.))	
[Redacted] (Social Security Number)	

14 YOUR RELATIVES AND ASSOCIATES

Give the full name, correct code, and other requested information for each of your relatives and associates, living or dead, specified below.

- | | | | | |
|---------------------|--------------------------|-------------------|--------------------|--------------------------------------|
| 1 - Mother (first) | 5 - Foster parent | 9 - Sister | 13 - Half-sister | 17 - Other Relative* |
| 2 - Father (second) | 6 - Child (adopted also) | 10 - Stepbrother | 14 - Father-in-law | 18 - Associate* |
| 3 - Stepmother | 7 - Stepchild | 11 - Stepsister | 15 - Mother-in-law | 19 - Adult Currently Living With You |
| 4 - Stepfather | 8 - Brother | 12 - Half-brother | 16 - Guardian | |

* Code 17 (Other Relative) - Include only foreign national relatives not listed in 1-16 with whom you or your spouse are bound by affection, obligation, or close and continuing contact. Code 18 (Associates) - Include only foreign national associates with whom you or your spouse are bound by affection, obligation, or close and continuing contact.

Full Name (if deceased, check box on the left before entering name)	Code	Date of Birth Month/Day/Year	Country of Birth	Country(ies) of Citizenship	Current Street Address and City (country) of Living Relatives	State
☐ Trudi (Holbrooke) Kearl	1	9/15/20	Germany	NY	344 Sprain Rd. Scarsdale, NY 10583	NY
☒ Dan Holbrooke	2	9/30/14	Russia	USA		
☐ Stanley Kearl	4	12/22/13	USA	NY	344 Sprain Rd. Scarsdale	NY
[Redacted]				NY	[Redacted]	NY
				NY		NY
				NY		NY
				NY		NY
				NY		NY
				NY		NY
				USA		M
				USA		MD
☐						
☐						

(01/26/1998)

serial 4

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED
DATE 02-15-2011 BY 60324UCBAW/SB/CMW

FEDERAL BUREAU OF INVESTIGATION

Precedence: IMMEDIATE

Date: 07/10/1998

To: Administrative Services

Attn: SIGBIU, Room 4371

PSS [REDACTED]

Washington Field

From: St. Louis

Approved By: [REDACTED]

Drafted By: [REDACTED]

map

Case ID #: 161A-HQ-1256328 (Pending)

Title: RICHARD CHARLES ALBERT HOLBROOKE
LEVEL I - PAS

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Synopsis: Official Personnel Folder (OPF), not located at Federal Records Center, Civilian Branch, St. Louis, Missouri.

Administrative: All persons interviewed were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality have not been granted.

Bureau EC to Los Angeles, dated 7/2/98.

Details: On July 10, 1998, Personnel, Federal Records Center, Civilian Branch, 111 Winnebago, St. Louis, Missouri, advised IA [REDACTED] that OPF for RICHARD CHARLES ALBERT HOLBROOKE, DOB 4/24/41, SSAN 132-32-3096, not located this center. They advised that the OPF is located at Department of State, PER EX IM, Room 1818MS, Washington, D.C. 20520.

7 80 DESTROYED

UNLOADED TO AOS/ECF:

JUL 10 1998

BY SL

191MAP01.EC

4371
161A-HQ-1256328-4

To: Administrative Services From: St. Louis
Re: 161A-HQ-, 07/10/1998

LEAD (s):

Set Lead 1: (Adm)

WASHINGTON FIELD

AT WASHINGTON, D.C.

If not already done, locate and review OPF for RICHARD CHARLES ALBERT HOLBROOKE, DOB 4/24/41, SSAN 132-32-3096, at Department of State, PER EX IM, Room 1818MS, Washington, D.C. 20520 and report results to Bureau.

St. Louis Division General and Confidential Indices were negative for Holbrooke.

All investigation is completed in the St. Louis Division.

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FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD
LOS ANGELES	BUREAU	07/14/98	07/09/1998-07/14/1998
TITLE OF CASE		REPORT MADE BY	TYPED BY:
RICHARD CHARLES ALBERT HOLBROOKE		SA [REDACTED]	mr
		CHARACTER OF CASE	
		LEVEL I - PAS	
BUDED: 07/28/1998			

REFERENCE: FBIHQ SIGBIU EC dated 07/02/1998.

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ADMINISTRATIVE: All persons interviewed were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality have not been granted.

A facsimile of this Los Angeles closing report was sent to FBIHQ on 07/14/1998.

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APPROVED	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW			
COPIES MADE:					
2 - Bureau (161A-HQ-1256328) SIGBIU, room 4371 Attn: PSS [REDACTED]					
① - Los Angeles (161A-HQ-1256328) Squad AP-1					
DISSEMINATION RECORD OF ATTACHED REPORT		Notations			
Agency					
Request Recd.					
Date Fwd.					
How Fwd.					
By					

A

COVER PAGE

UNITED STATES DEPARTMENT OF JUSTICE
Federal Bureau of Investigation

Copy to:

Report of:

SA

Office: Los Angeles Field Office

Date:

July 14, 1998

Case ID #:

161A-HQ-1256328

161A-HQ-1256328

Title:

RICHARD CHARLES ALBERT HOLBROOKE

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b7C

Character:

LEVEL I - PRESIDENTIAL APPOINTMENT WITH SENATE
CONFIRMATION

Synopsis:

Former supervisor interviewed and recommends.

- C -

DETAILS:

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION**Precedence:** DEADLINE 07/28/1998**Date:** 07/14/1998**To:** FBIHQ-SIGBIU/Room 4371
San Francisco
Washington Field**Attn:** PSS [REDACTED]ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED
DATE 02-15-2011 BY 60324UCBAW/SB/CMWb6
b7C**From:** Los Angeles
Squad AP-1
Contact: SA [REDACTED]**Approved By:** [REDACTED]**Drafted By:** [REDACTED]**Case ID #:** 161A-HQ-1256328 (Pending)**Title:** RICHARD CHARLES ALBERT HOLBROOKE
LEVEL I - PAS**Synopsis:** Initiation of Leads to interview individuals with knowledge of candidates activities while serving as chief negotiator of the Dayton Peace Accord.**Enclosures:** To San Francisco, one copy of FBIHQ EC to Los Angeles, et al, Dtd 07/02/1998, setting forth candidate's SF-86. (Washington Field already in receipt of this EC)**Administrative:** BUDED is 7/28/1998, however, the Bureau has changed this deadline to 7/17/1998.**Details:** During interview of candidate's former supervisor, WARREN CHRISTOPHER, former Secretary of State, Los Angeles developed additional individuals who can verify candidate's former position as chief negotiator for the Dayton Peace Accord in Bosnia in 1995. Leads to interview these individuals are set forth.

To: Washington Field From: Los Angeles
Re: 161A-HQ-1256328, 07/14/1998

LEAD (s):

Set Lead 1:

SAN FRANCISCO

AT SAN FRANCISCO, CA

Interview [redacted] telephone number [redacted]

[redacted] International Advisory Corporation, and former Secretary of Political Affairs, regarding his knowledge of RICHARD CHARLES ALBERT HOLBROOKE and obtain comments regarding HOLBROOKE as chief negotiator for the Dayton Peace Accord in Bosnia. Submit results to FBIHQ SIGBUI, Room 4371, PSS [redacted] by BUDED.

Set Lead 2:

WASHINGTON FIELD

AT WASHINGTON, DC

Interview the following individuals regarding knowledge of RICHARD CHARLES ALBERT HOLBROOKE and comments regarding HOLBROOKE as chief negotiator for the Dayton Peace Accord in Bosnia: [redacted]

[redacted] Secretary of State, thru [redacted]
[redacted] Submit results to FBIHQ SIGBUI, Room 4371, PSS [redacted] by BUDED.

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161A-HQ-1256328

MR:mr^{pl}

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HEREIN IS UNCLASSIFIED
DATE 02-15-2011 BY 60324UCBAW/SB/CMW

EMPLOYMENT

Department of State
2201 C St NW
Washington D.C. 20520
August 1994-February 1996
U.S. Embassy
Bonn Germany
September 1993-August 1994

The following investigation was conducted on 07/14/1998 by
SA [REDACTED] regarding the candidate, RICHARD CHARLES ALBERT
HOLBROOKE.

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WARREN CHRISTOPHER, Former Secretary of State and currently Senior Partner at O'Melveny and Myers Law Firm, 1999 Avenue of The Stars, 7th floor, Los Angeles, California, business telephone number (310) 246 6751, home telephone number (310) 247-2207, was interviewed regarding RICHARD CHARLES ALBERT HOLBROOKE. After being advised of the nature of the interview, information on the candidate's position as Chief Negotiator for the Dayton Peace Accord in Bosnia, scope of the interview, and the identity of the interviewing agent, he provided the following information:

CHRISTOPHER has known HOLBROOKE socially and professionally for over twenty years, they met in 1977 while working together at the State Department in Washington D.C. CHRISTOPHER describes the candidate as a man of excellent character and a dedicated patriot. In regards to HOLBROOKE's position as chief negotiator of the Dayton Peace Accord, CHRISTOPHER advised that HOLBROOKE did a fantastic job and reported to him on a daily basis.

CHRISTOPHER knows of no activity in which HOLBROOKE participates which could expose him to blackmail, coercion, or could compromise or negatively impact his judgement, discretion, trustworthiness or responsibility. CHRISTOPHER does not question his character, associates, reputation or loyalty to the United States of America.

CHRISTOPHER does not believe HOLBROOKE to ever have abused prescription drugs or alcohol, or to have used, purchased, or to have been in the possession of illegal drugs. He does not believe he has been involved in the manufacture, sale or any type of distribution, or transport of illegal drugs. CHRISTOPHER believes him to live within his financial means and to be

161A-HQ-1256328

MR:mpc

mentally capable and stable. He does not believe the candidate to be biased or prejudiced against any group of persons for any reason. CHRISTOPHER highly recommends RICHARD CHARLES ALBERT HOLBROOKE for a continued position of trust and confidence with the government.

CHRISTOPHER states the following individuals would have personal knowledge of HOLBROOKE'S activities while serving as the chief negotiator for the Dayton Peace Accord in Bosnia:

[redacted] home telephone number [redacted]
[redacted] home telephone number [redacted]
[redacted] State, business
telephone number [redacted]
[redacted] for contact information.
[redacted] Political Affairs, telephone
number [redacted]
[redacted] telephone number [redacted]
[redacted]

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UNITED STATES DEPARTMENT OF JUSTICE
Federal Bureau of Investigation

Copy to:

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b7CReport of:
Date:PSS [REDACTED]
July 14, 1998

Office: WFO

Case ID #:

161A-HQ-1256328

Title:

RICHARD CHARLES ALBERT HOLBROOKE

Character:

LEVEL I - PAS

Synopsis:

White House Office checked, no record. Employment at United States Department of State verified and favorable. Residence at 1527 35th Street, N.W., verified and favorable. References commented favorably. Membership with National Advisory Forum of the Holocaust Memorial Museum verified. Records at Comptroller of the Currency checked, no record. Records at Federal Deposit Insurance Corporation checked, no record. Records at Federal Reserve Board checked, no record. Records at Securities and Exchange Commission checked, no record. Records at United States Department of Justice Public Integrity Section checked, no record. Records at United States Secret Service checked, no record. Records at United States Attorney's Office checked, no record. Records at District of Columbia Motor Vehicle Services revealed expired license. All other local law enforcement agencies checked, no record.

-RUC-

161A-HQ-1256328

HM:hm

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EMPLOYMENT

U.S. Department of State (DOS)
2201 C Street, N.W.
Washington, D.C.
9/93 to 8/94; 8/94 to 2/96

The following investigation was conducted by Special Agent [redacted] regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE.

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On 7/6/98, [redacted] Washington Conference on Holocaust Era Assets, DOS, advised that he has known the appointee on a professional basis since [redacted]. He advised that he was the [redacted] in Germany when the appointee was Ambassador to that country. He advised that this was in [redacted]. He advised that he also worked for the appointee from [redacted] [redacted] and had almost daily contact with the appointee during his period of employment from [redacted]. [redacted] described the appointee as respectable, forceful, highly effective and someone he admires very much. He added that the appointee is a great public servant. [redacted] advised that he knew the appointee during his position as Chief Negotiator for the Dayton Peace Accord in Bosnia in 1995. He advised that he was also aware of the appointee's position as Special Presidential Envoy for Cyprus.

On 7/6/98, [redacted] [redacted] DOS, advised that he has known the appointee for over 20 years. He described the appointee as dynamic, ebullient, and an absolutely fantastic person. [redacted] advised that he knew the appointee during his position as Chief Negotiator for the Dayton Peace Accord in Bosnia in 1995, and also as Special Presidential Envoy for Cyprus in 1995.

On 7/6/98, [redacted] State, Bureau of European and Canadian Affairs, DOS, advised that he has known the appointee for about 10 years. He advised that the appointee is very, very intelligent and energetic. He stated that the appointee is a remarkable person who loves his country and someone he would recommend without hesitation.

On 7/9/98, [redacted] DOS employee currently on his way to an assignment to Moscow and contacted at his place of residence at [redacted] advised that he has known the appointee for 4-5 years. He advised that he was [redacted] in Hamburg while the appointee was Ambassador to Germany. He

advised that they overlapped in Germany, and also had contact with him when he [redacted] was the Germany [redacted] at Main State. [redacted] described the appointee as a person with a fine, upstanding character and personality.

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On 7/13/98, [redacted] Washington Conference on Holocaust Era Assets, DOS, advised that he has known the appointee since the Fall of 1993. He advised that it was at this time that they first met when he was one of the Political Officers in Bonn, Germany, and the appointee was assigned there as Ambassador. [redacted] described the appointee someone with a lot of energy, brilliant, rather forceful and aggressive.

All persons interviewed advised that they were aware of nothing negative or derogatory regarding the appointee's character, associates, reputation or loyalty to the United States. All persons advised that they have never known the appointee to abuse alcohol or prescription drugs, or to use illegal drugs. All persons advised that they have never known the appointee to express bias or prejudice towards or against persons or groups. All persons advised that they were aware of no financial, physical or emotional problems on the part of HOLBROOKE.

All persons interviewed advised that the appointee was suitable for access to classified materials and recommended him for a position of trust and confidence with the government. All persons advised that they were not aware of any activity or conduct that could be used to influence, pressure, coerce, or compromise the appointee in any way, or that could have an adverse impact on his character, judgement, stability, discretion, trustworthiness or responsibility.

WF0 161A-HQ-1256328
LTF:ltf
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EMPLOYMENT

UNITED STATES DEPARTMENT OF STATE
2201 C Street NW
Washington, D.C.
August 1994 to February 1996

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UNITED STATES DEPARTMENT OF STATE
US Embassy
Bonn Germany
September 1993 to August 1994

1995 DAYTON PEACE ACCORD

1997 PRESIDENTIAL ENVOY FOR CYPRUS

The following investigation was conducted by Special Agent
(SA) [REDACTED] concerning the appointee RICHARD
CHARLES ALBERT HOLBROOKE:

On July 9, 1998, [REDACTED] O'MELVENY & MYERS,
555 13th Street NW, Suite 500 West, Washington, D.C., verified
the above captioned employment and the position of Chief
Negotiator for the Dayton Peace Accord in Bosnia, as well as the
appointee's June 1997 position as Special Presidential Envoy for
Cyprus. Refer to the Reference Section of this report for
additional comments.

WFO 161A-HQ-1256328

SBB:sbb

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NEIGHBORHOOD

1527 35th Street, N.W.
Washington D.C. 20007
August 1994 to February 1996

On July 9, 1998, Special Agent (SA) [redacted] performed the following investigations regarding the appointee RICHARD CHARLES ALBERT HOLBROOKE:

1527 35th Street, N.W., is located on the Southeast corner of the intersection of 35th Street and Volta Place. Across 35th Street is a large building with the address 1524, which houses offices, and just to the north of that building is the Georgetown Visitation Preparatory School. Interviews were therefore only conducted along the East side of 35th Street and along Volta Place.

[redacted] stated that she had lived there only since [redacted] and could not be of any help.

An FD-754 request for response card with the interviewing Agent's name and phone number was left at [redacted] but no response has come from that address.

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[redacted] and [redacted] Alexander Graham Bell Association for the Deaf, 1537 35th Street, both stated that they had worked at that location since [redacted] and had noticed no disturbances at the residence at 1527 35th Street. Both said they had seen high-brow receptions of the black tie variety, and catering trucks at that residence, but no problems had ever been noted in connection with those parties or at any other time.

At [redacted] was contacted, but the owner was not available and the [redacted] had no knowledge of the neighborhood during the above time period.

An FD-754 request for response card with the interviewing Agent's name and phone number was left at [redacted] a residence which [redacted] to the appointee's former residence, but no response has come from that address.

[redacted] stated that he had lived there since [redacted] and while he did not know the appointee, he had not observed and did not know of any disturbances at 1527 35th Street, which [redacted] explained was the "Bell House" where Alexander Graham bell once lived.

WFO 161A-HQ-1256328
LTF:ltf
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NEIGHBORHOOD

1527 35th Street, N.W.
Washington D.C. 20007
August 1994 to February 1996

The following investigation was conducted by Special Agent (SA) [REDACTED] regarding the appointee RICHARD CHARLES ALBERT HOLBROOKE:

On July 10, 1998, [REDACTED] (CEO), Fannie Mae, 3900 Wisconsin Avenue NW, Washington, D.C., verified the above captioned previous address of the appointee. [REDACTED] advised that he has known the appointee for thirty years. He stated that they met at graduate school at Princeton University. [REDACTED] stated that the appointee's character is the best. He advised that the appointee is an outstanding individual. [REDACTED] advised that he has no questions whatsoever concerning the appointee. He is aware of no complaints or disturbances regarding the appointee.

[REDACTED] commented favorably regarding the appointee's character, associates, reputation, and loyalty to the United States government. He has never seen or heard of any evidence of alcohol or prescription drug abuse or the use of illegal drugs on the part of the appointee. He has no knowledge of any physical, emotional, or financial problems which would affect the appointee's ability to perform any job. He considers the appointee suitable for access to classified and sensitive information. He has no knowledge of any biases or prejudices on the part of the appointee. He knows of nothing in the appointee's background that could be used to coerce or influence him. [REDACTED] recommended the appointee for a position of trust and confidence with the United States government.

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On July 14, 1998, [REDACTED] Washington, D.C., advised that she is aware of who the appointee is and has known of him for a number of years. She stated that she was not aware that he had resided at the above captioned address and imagined that because of his former positions with the Department of State, he traveled a great deal. She did advise that she has never noticed any problems at the residence during the period of time the appointee lived there.

161A-HQ-1256328
HM:hm

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REFERENCE

The following investigation was conducted by Special Agent [REDACTED] regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE.

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On 7/6/98, [REDACTED] advised on behalf of [REDACTED] the following regarding the appointee. He advised that [REDACTED] would described the appointee as one of the most energetic, valuable, able persons he knows. He advised that [REDACTED] feels the appointee is certainly worthy of the position for which he is being considered. he advised that [REDACTED] has known the appointee for about 20 years. [REDACTED] advised that he too has known the appointee for 20 years and has worked closely with him. He advised that he shares the same opinion of the appointee.

[REDACTED] advised on behalf of [REDACTED] that he was not aware of anything negative or derogatory regarding the appointee's character, associates, reputation or loyalty to the United States. He advised that he has never known the appointee to abuse alcohol or prescription drugs, or to use illegal drugs. He advised that he has never known the appointee to express bias or prejudice towards or against persons or groups. He advised that he was aware of no financial, physical or emotional problems on the part of HOLBROOKE.

[REDACTED] advised on behalf of [REDACTED] that the appointee was suitable for access to classified materials and recommended him for a position of trust and confidence with the government. He advised that he was not aware of any activity or conduct that could be used to influence, pressure, coerce, or compromise the appointee in any way, or that could have an adverse impact on his character, judgement, stability, discretion, trustworthiness or responsibility.

WFO 161A-HQ-1256328

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REFERENCES

The following investigations were conducted by Special Agent (SA) [redacted] concerning the appointee RICHARD CHARLES ALBERT HOLBROOKE:

On July 9, 1998, efforts to contact [redacted] Carlyle Group, 1001 Pennsylvania Avenue NW, Washington, D.C., have met with negative results. Investigation to date has determined that [redacted] is in Hong Kong for an extended period of time. [redacted] office advised that they are unaware of his date of return.

On July 9, 1998, [redacted] O'MELVENEY & MYERS, 555 13th Street NW, Suite 500 West, Washington, D.C., advised that he has known the appointee both socially and professionally since 1979 when they met through a mutual friend and colleague, [redacted] Fannie Mae. [redacted] advised that he served as the [redacted] for the State Department and worked closely with the appointee during the appointee's tenure as Assistant Secretary of State and U.S. Ambassador to Germany. [redacted] advised that he and the appointee were [redacted] during both the CARTER Administration and the first term of the CLINTON Administration. [redacted] advised that he has worked intimately with the appointee. [redacted] advised that he considers the appointee to be a first class intellect. He stated that the appointee is a patriot and totally devoted to his public service positions. [redacted] advised that in 1995 the appointee was the chief negotiator for the Dayton Peace Accord in Bosnia. [redacted] advised that he and the appointee worked very closely on the Bosnian negotiations and he finds the appointee to be reliable and extremely effective. [redacted] advised that he left the State Department in [redacted] but can verify that the appointee served as Special Presidential Envoy for Cyprus.

[redacted] commented favorably regarding the appointee's character, associates, reputation, and loyalty to the United States government. He has never seen or heard of any evidence of alcohol or prescription drug abuse or the use of illegal drugs on the part of the appointee. He has no knowledge of any physical, emotional, or financial problems which would affect the appointee's ability to perform any job. He considers the appointee suitable for access to classified and sensitive information. He has no knowledge of any biases or prejudices on the part of the appointee. He knows of nothing in the appointee's background that could be used to coerce or influence him. [redacted] recommended the appointee for a position of trust and confidence with the United States government.

WF0 161A-HQ-1256328

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ORGANIZATION

NATIONAL ADVISORY FORUM OF THE
HOLOCAUST MEMORIAL MUSEUM

The following investigation was conducted by Special Agent
(SA) [REDACTED] concerning the appointee RICHARD
CHARLES ALBERT HOLBROOKE:

On July 9, 1998 [REDACTED] for Council
Relations, United States National Holocaust Memorial Museum, 100
Rauol Wallenberg Place SW, Washington, D.C., advised that she
could verify the above captioned membership. [REDACTED] stated that
the appointee has been a member of the captioned committee since
May 1996 and is a member in good standing. [REDACTED] advised that
she does not personally know the appointee and cannot comment on
his character, etc.

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WFO 161A-HQ-1256328

VJM:vjm

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RECORD CHECK



On July 10, 1998, Investigative Analyst (IA) Vincent J. Motofuji, initiated an inquiry with the above captioned agency, concerning, RICHARD CHARLES ALBERT HOLBROOKE.

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WFO 161A-HQ-1256328

SDT:sdt

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LAW ENFORCEMENT AGENCIES

On July 3, 1998, a search was made of the records of the Metropolitan Police Department, Washington, D.C., and it was advised that no records were located regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE.

It should be noted that at all times an indefinite number of unidentified records are out of file, and therefore, unavailable for review.

~~SECRET~~

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED EXCEPT
WHERE SHOWN OTHERWISE

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE WFO	OFFICE OF ORIGIN BUREAU	DATE 7/14/98	INVESTIGATIVE PERIOD 7/3/98 - 7/13/98
TITLE OF CASE RICHARD CHARLES ALBERT HOLBROOKE		REPORT MADE BY PSS [REDACTED]	TYPED BY: SDT
		CHARACTER OF CASE LEVEL I - PAS	

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REFERENCE: BUREAU EC to WFO dated 7/2/98.

(RUC)

EXEMPTED FROM AUTOMATIC
DECLASSIFICATION
AUTHORITY DERIVED FROM:
FBI AUTOMATIC DECLASSIFICATION GUIDE
EXEMPTION CODE 25X(1,6)
DATE 02-15-2011

ADMINISTRATIVE: BUDED: 7/15/98

All individuals were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality, both limited and unlimited, have been granted where noted.

WFO indices contained no identifiable information concerning the appointee.

(S) WFO file number [REDACTED] was unable to be located. b1

(S) WFO file number [REDACTED] was unable to be located.

WFO file number 174C-WF-186825 Serial 571 was unable to be located.

APPROVED	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW			
COPIES MADE: 2-BUREAU (161A-HQ-1256328) PSS [REDACTED] 1-WFO [REDACTED]					
DISSEMINATION RECORD OF ATTACHED REPORT		Notations			
Agency					
Request Recd.					
Date Fwd.					
How Fwd.					
By					

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FEDERAL BUREAU OF INVESTIGATION
FOIPA
DELETED PAGE INFORMATION SHEET

No Duplication Fees are charged for Deleted Page Information Sheet(s).

Total Deleted Page(s) ~ 171
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Page 80 ~ b1
Page 97 ~ b6, b7C
Page 107 ~ b6, b7C
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FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE LOS ANGELES	OFFICE OF ORIGIN BUREAU	DATE 07/14/98	INVESTIGATIVE PERIOD 07/09/1998-07/14/1998
TITLE OF CASE RICHARD CHARLES ALBERT HOLBROOKE		REPORT MADE BY SA 	TYPED BY: mr
		CHARACTER OF CASE LEVEL I - PAS	
BUDED: 07/28/1998			

REFERENCE: FBIHQ SIGBIU EC dated 07/02/1998.

- C -

ADMINISTRATIVE: All persons interviewed were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality have not been granted.

A facsimile of this Los Angeles closing report was sent to FBIHQ on 07/14/1998.

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APPROVED <i>TP</i>	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW			
COPIES MADE:					
2 - Bureau (161A-HQ-1256328) SIGBIU, room 4371 Attn: PSS 1 - Los Angeles (161A-HQ-1256328) Squad AP-1 50 DESTROYED		-7 Notations			
DISSEMINATION RECORD OF ATTACHED REPORT					
Agency					
Request Recd.					
Date Fwd.					
How Fwd.					
By					

7/15/98

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COVER PAGE

(12/31/1995)

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED
DATE 02-16-2011 BY 60324UCBAW/SB/CMW

FEDERAL BUREAU OF INVESTIGATION

Precedence: DEADLINE 07/28/1998

Date: 07/15/1998

To: Personnel

Attn: Special Inquiry and
General Background
Information Unit,
Room 4371

Denver
New Haven

From: New York

A-6

Contact: SA [REDACTED]

- Ext. [REDACTED]

Approved By: [REDACTED]

Drafted By: [REDACTED] :ctv

Case ID #: 161A-HQ-1256328 (Pending)

Title: RICHARD CHARLES ALBERT HOLBROOKE
LEVEL I - PAS

Synopsis: Background investigation re appointee continuing.

Details: Appointee DOB 04/24/1941 at New York, New York, is currently Vice Chairman with Credit Suisse First Boston, 11 Madison Avenue, New York, New York, 02/96 - Present. Appointee lists his SSAN as 132-32-3096.

On 07/09/1998, during candidate interview, Holbrooke advised he and his wife [REDACTED] currently own a private residence at [REDACTED] Connecticut, which was purchased in 1987. He further stated he owns a private residence also at 327 North Fir, Telluride, Colorado, which was purchased in 1991. He noted that home in Telluride, Colorado is currently up for sale and approximately one month ago, he and his wife purchased another private residence at [REDACTED]. [REDACTED] He noted the residence in [REDACTED] is rented out and he never visits it, and his residence at 327 North Fir in Telluride, Colorado is utilized three to four times a year.

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161A-HQ-1256328-8

To: Personnel From: New York
Re: 161A-HQ-1256328, 07/15/1998

LEAD (s):

Set Lead 1:

DENVER

AT DENVER, COLORADO

Will conduct indices check and U. S. attorney check re
appointee.

Set Lead 2:

NEW HAVEN

AT NEW HAVEN, CONNECTICUT

Will conduct indices check and U. S. attorney check re
appointee.

♦♦

PCD: 7/20/98
PAS 342



79775

U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535

JUL 17 1998

BY COURIER

Honorable Charles F. C. Ruff
Counsel to the President
The White House
Washington, D.C.

Dear Mr. Ruff:

Based on a request received from your office dated July 2, 1998, a Level I background investigation has been conducted concerning Mr. Richard Charles Albert Holbrooke. Enclosed is a summary memorandum containing the results of this investigation.

Several background investigations have been conducted concerning Mr. Holbrooke by the FBI, the Defense Investigative Service, and the Department of State, the most recent having been by the FBI in 1994. The results of those investigations are incorporated in the enclosed summary memorandum.

Also enclosed is a copy of your July 2, 1998, request which has been initialed and dated by a representative of the FBI's Office of General Counsel.

This completes our investigation. Any questions regarding this investigation may be directed to Supervisory Personnel Security Specialist [redacted] or myself, at telephone number [redacted]

Sincerely yours,

JAB / PSM

Chief
Special Inquiry and General
Background Investigations Unit

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Dep. Dir. _____
Chief of _____
Staff _____
Off. of Gen. _____
Counsel _____
Asst. Dir. _____
Crim. Inv. _____
CHS _____
Finance _____
Info. Sys. _____
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National Sec. _____
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Training _____
Off. of EBOA _____
Off. of Public _____
& Cong. Affs. _____
Director's Office _____

Enclosures (3)

MWS: [signature]

CLOSED

MAIL ROOM

FBI/DOJ

Charles F. C. Ruff

NOTE: This case was opened on 7/2/98. Mr. Holbrooke is currently employed by Credit Suisse First Boston, New York, New York, as vice chairman. He is being investigated for a Presidential appointment to be the United States representative to the United Nations, which requires Senate confirmation. Investigation disclosed [REDACTED] Investigation is complete.

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Naturalization information concerning [REDACTED] was provided by [REDACTED] Office of Records, Immigration and Naturalization Service, Washington, D.C., on 7/13/98.

The following footnotes correspond to information located in the Agency Checks section of the summary:

1. 161B-4612, now 161A-HQ-1256328
2. 949794AB2



U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535

JUL 17 1966

RICHARD CHARLES ALBERT HOLBROOKE

This summary memorandum contains the results of a Level I background investigation concerning Mr. Holbrooke, which addressed his entire adult life. Inquiries were conducted as to Mr. Holbrooke's character, loyalty, and general standing, but no inquiries were made as to the sources of his income.

Birth

Mr. Holbrooke was born on April 24, 1941; in New York, New York.

Education

Mr. Holbrooke attended Brown University, Providence, Rhode Island, from September, 1958, to June, 1962, receiving an A.B. degree in history.

Military Service

Mr. Holbrooke indicated no prior military service.

Employment

While pursuing an education, Mr. Holbrooke was employed as a soda jerk, an attendant or an office boy in Scarsdale or New York, New York.

July, 1962, to
May, 1974

United States Department of State (DOS), Washington, D.C., initially as a foreign service reserve officer, serving in various capacities in the United States and abroad until July, 1966, when he was detailed to the White House as a staff member to the White House Foreign Affairs Officer. In September, 1967, Mr. Holbrooke was reassigned to the Office of the Undersecretary of State, Washington, D.C., as an

Dep. Dir. _____
Chief of _____
Staff _____
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Counsel _____
Asst. Dir. _____
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Director's Office _____

MAIL ROOM 0

FBI/DOJ

Richard Charles Albert Holbrooke

international relations officer. He served in various capacities in the United States and abroad until May, 1972, when he was placed on leave without pay to accept a position with "Foreign Policy" magazine in New York, New York. Mr. Holbrooke resigned from DOS in May, 1974

March, 1972, to
July, 1976, and
November, 1976, to
January, 1977

Carnegie Endowment for
International Peace, New York,
New York, initially as
Managing Editor of "Foreign
Policy" magazine, and
subsequently as Director of
Publications

July, 1976, to
November, 1976

1976 Democratic Presidential
Campaign Committee,
Incorporated, Atlanta,
Georgia, as a researcher and
advisor

January, 1977, to
January, 1981;
September, 1993, to
February, 1996; and
July, 1996, to the
present

DOS, Washington, D.C.,
initially as Assistant
Secretary, Bureau of East
Asian and Pacific Affairs. In
September, 1993, he was
appointed Ambassador to
Germany. In August, 1994,
Mr. Holbrooke was reassigned
as Assistant Secretary, Bureau
of European Affairs. He
resigned from this position in
February, 1996. Since July,
1996, Mr. Holbrooke has been
a Foreign Affairs Officer -
Expert, in the office of the
Assistant Secretary, Bureau of
European Affairs.
Additionally, Mr. Holbrooke
was appointed in 1995 to be
Chief Negotiator for the
Dayton Peace Accord in Bosnia,
and since June, 1997, has been
Special Presidential Envoy for
Cyprus

Richard Charles Albert Holbrooke

March, 1981, to
April, 1985 (exact
dates not recorded)

Public Strategies, Washington,
D.C., as Vice President. This
company was purchased by
Lehman Brothers.

April, 1985, to
September, 1993

Lehman Brothers, New York, New
York, as a Managing Director

March, 1993, to
September, 1993

Department of Defense,
Washington, D.C., as an
unsalaried consultant

February, 1996, to
the present

Credit Suisse First Boston
Corporation, New York, New
York, as Vice Chairman

Family Status

Mr. Holbrooke is married to [redacted] He has
indicated that his wife is a naturalized United States citizen.
They and her children, [redacted]
[redacted] reside in [redacted]
[redacted] New York.

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Records of the Immigration and Naturalization Service
disclosed that Mr. Holbrooke's wife [redacted]
[redacted]

Records of the Domestic Relations Branch, District of
Columbia Superior Court, Washington, D.C., disclosed that
[redacted] plaintiff, was divorced from Mr. Holbrooke,
defendant, on [redacted] The grounds for the divorce
were listed as [redacted]
[redacted]

Records of the same court disclosed that Mr. Holbrooke,
plaintiff, was divorced from [redacted] defendant,
on [redacted] The grounds for the divorce were listed as
[redacted]

Mr. Holbrooke's father, Dan Holbrooke, is deceased. In
addition to his wife and her children, Mr. Holbrooke has listed
the following living close relatives:

Mother

Trudi Holbrooke Kearl
Scarsdale, New York

Stepfather

Stanley Kearl
Scarsdale, New York

Richard Charles Albert Holbrooke

Son

[redacted]
[redacted] New York

Son

[redacted]
[redacted] New York

Brother

[redacted]
[redacted] New York

Records of the Immigration and Naturalization Service disclosed that Mr. Holbrooke's mother, Trudi Holbrooke Kearl, became a naturalized United States citizen on April 11, 1941.

Interviews

Thirty-six persons, consisting of current and former supervisors and colleagues, present and former neighbors, references, professional associates, and social acquaintances, were interviewed. They provided favorable comments concerning Mr. Holbrooke's character, associates, reputation, and loyalty.

All persons interviewed during the course of this background investigation stated they are unaware of any illegal drug use or alcohol abuse by Mr. Holbrooke, nor have they ever known him to exhibit any type of bias or prejudice against any class of citizen or any type of religious, racial or ethnic group. They also commented that they believe Mr. Holbrooke lives within his financial means. None of the individuals contacted was aware of any information concerning Mr. Holbrooke that could be used to compromise or coerce him. All persons interviewed recommended him for a position of trust and responsibility.

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Among those interviewed are the following:

[redacted] Washington Conference on
Holocaust Era Assets, DOS, Washington, D.C.;

[redacted] DOS,
Washington, D.C.;

[redacted] Bureau of
European and Canadian Affairs, DOS, Washington, D.C.;

[redacted], Fannie
Mae, Washington, D.C.;

[redacted] O'Melveny and
Myers, Los Angeles, California;

Richard Charles Albert Holbrooke

[redacted], New
York, New York;

[redacted] Credit Suisse First Boston, New York,
New York; and

[redacted] Credit Suisse First Boston,
New York, New York.

Financial Responsibility

A search of computerized credit records, which was conducted at FBI Headquarters in July, 1998, disclosed no pertinent information concerning Mr. Holbrooke, except as noted below. The results of additional inquiries concerning this debt are also set forth below:

Records of the Trans Union Corporation, Springfield, Pennsylvania, disclosed a public record of a California state tax lien placed against Mr. Holbrooke in August, 1991.

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During a 1993 DOS background investigation of Mr. Holbrooke, records of the Sacramento County, California, Recorder's Office were reviewed and disclosed that a tax lien was filed against Mr. Holbrooke on August 12, 1991, by the California Franchise Tax Board (CFTB) for tax year 1989 in the amount of \$123.90 (including tax, interest, penalty, and cost). Records further indicated that the lien was released on November 13, 1991.

During the 1993 DOS and also during a 1994 FBI background investigation, Mr. Holbrooke was interviewed regarding the California state tax lien. In both interviews, Mr. Holbrooke advised that he had no knowledge of the lien. During the 1994 FBI background investigation, Mr. Holbrooke additionally advised he contacted one of his accountants, who told him that the lien arose from certain stocks he held in a California firm. The lien resulted from a tax adjustment and had long since been paid. The accountant, [redacted] Mahoney, Cohen and

Richard Charles Albert Holbrooke

Company, New York, New York, was also interviewed in 1994 by the FBI and advised that Mr. Holbrooke paid the California state tax lien in full on September 17, 1991.

Law Enforcement Agency Checks

Information has been received from appropriate law enforcement agencies indicating their files contain no pertinent information concerning Mr. Holbrooke.

Miscellaneous

A search of NEXIS, a computerized news retrieval service, disclosed no pertinent information concerning Mr. Holbrooke.

Agency Checks

Mr. Holbrooke was the subject of background investigations conducted by the Defense Investigative Service (DIS) in August, 1988, and by DOS in June, 1962, December, 1976, and July, 1993. Those investigations are incorporated into this summary memorandum. During the course of those investigations, sixty-nine individuals were interviewed and provided favorable comments concerning Mr. Holbrooke. During the 1976 DOS background investigation, a former supervisor advised Mr. Holbrooke was reluctant to give credit to subordinates when it was due.

During the course of this background investigation, the records of the following entities were checked and found to contain [REDACTED] concerning Mr. Holbrooke, unless otherwise noted in this summary memorandum:

Central Intelligence Agency;
Office of Personnel Management;
Public Integrity Section and appropriate
United States Attorneys,
Department of Justice;
Defense Clearance and Investigations Index;
DOS;
Comptroller of the Currency,
United States Department of the Treasury;
Federal Reserve Board;
Federal Deposit Insurance Corporation;
Securities and Exchange Commission;
United States Secret Service;
and the White House Office.

b3 Per CIA

Richard Charles Albert Holbrooke

Searches of the various indices of the FBI, including but not limited to the central index maintained at FBI Headquarters, the index of the Criminal Justice Information Services Division (by name and other known identifying data), the indices of appropriate field offices and other appropriate computer data bases, did not identify any documents that contain pertinent information identifiable with Mr. Holbrooke or his close relatives, except the following:

Mr. Holbrooke was the subject of three background investigations¹ conducted by the FBI in 1966, 1977 and 1994 in connection with employment at the White House or DOS. Those investigations are incorporated into this summary memorandum. During the course of those investigations, seventy-five persons provided favorable comments regarding Mr. Holbrooke. During the course of the 1994 investigation, one neighbor commented that he did not consider Mr. Holbrooke to be very reliable or responsible because of occasional late payments of maintenance fees on his apartment. This individual also stated that Mr. Holbrooke could be argumentative, difficult, and not very tactful when dealing with people. Another neighbor commented that Mr. Holbrooke was not very friendly, and had been disrespectful to others in the building. This individual also stated that Mr. Holbrooke was not reliable or responsible, and could be rude at times. A third individual advised that Mr. Holbrooke was not well organized and that his bookkeeping was sloppy. Also, during the 1994 FBI investigation, credit records disclosed a New York City Department of Finance (NYCDOF) judgment for \$8,539 filed against Mr. Holbrooke in April, 1990. Records of the NYCDOF indicated that as of July 14, 1994, an unpaid balance of \$326 in interest remained.

Richard Charles Albert Holbrooke

On July 17, 1998, records of the NYCDOF, Brooklyn, New York, disclosed that Mr. Holbrooke's record is clear and owes no money to the city of New York.

CJIS Division records contain [REDACTED]

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[REDACTED]
[REDACTED] A
copy of the CJIS Division record is
attached.

A check of the Narcotics and Dangerous Drugs
Information System (NADDIS), operated by the Drug Enforcement
Administration, revealed no information concerning [REDACTED]
[REDACTED]

It should be noted that results of the above indices
searches reveal only data entered into those indices as of the
date each was searched. However, it should also be noted that
some delays may occur as to the entry of such data.

Enclosure

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD
WFO	BUREAU	7/23/98	7/22/98 - 7/23/98
TITLE OF CASE		REPORT MADE BY	TYPED BY:
RICHARD CHARLES ALBERT HOLBROOKE		PSS [REDACTED]	SDT
		CHARACTER OF CASE	
		LEVEL I - PAS	

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b7CREFERENCE: BUREAU EC to WFO dated 7/2/98.

(RUC)

ADMINISTRATIVE: BUDED: 7/15/98

All individuals were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality, both limited and unlimited, have been granted where noted.

This report is being submitted past BUDED due to developed leads from FBIHQ SIGBIU per telcal Unit Chief [REDACTED] 7/22/98.

APPROVED	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW			
JCC/m COPIES MADE: 2-BUREAU (161A-HQ-1256328) PSS [REDACTED] 1-WFO [REDACTED]					
CC DESTROYED					
DISSEMINATION RECORD OF ATTACHED REPORT		Notations			
Agency					
Request Recd.					
Date Fwd.					
How Fwd.					
By					

UNITED STATES DEPARTMENT OF JUSTICE
Federal Bureau of Investigation

Copy to:

Report of: PSS [REDACTED] Office: WFO
Date: July 23, 1998
Case ID #: 161A-HQ-1256328
Title: RICHARD CHARLES ALBERT HOLBROOKE

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Character: LEVEL I - PAS

Synopsis: Special Agent [REDACTED] interviewed.
Records at Recorder of Deeds checked, no record.

-RUC-

- 1 -

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 7/22/98

[redacted] Special Agent, Office of Inspector General (OIG), United States Department of State (DOS), 1700 N. Moore Street, Room 910, was interviewed for the purpose of obtaining information from him concerning an OIG criminal investigation regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE. After being apprised of the identity of the interviewing Agent, [redacted] furnished the following information:

[redacted] advised that he was working on an investigation with Special Agent (SA) [redacted] FBI, regarding the Campaign Contributions investigation. [redacted] advised that they were looking into the burial of Ambassador LARRY LAWRENCE, at Arlington National Cemetery. In reviewing the Background Investigation conducted on Ambassador LAWRENCE, it was discovered that there were missing derogatory documents. Apparently, Ambassador LAWRENCE advised the appointee that he had been a Merchant Marine. The appointee wrote a letter to Department officials concerning the Ambassador, for the purpose of facilitating a burial at Arlington National Cemetery. [redacted] advised that the appointee probably had no knowledge that Ambassador LAWRENCE lied about his Merchant Marine career. During this investigation, [redacted] determined that the appointee had resided at LAWRENCE's Georgetown mansion from 1994 to 1996 and never disclosed this information as a gift on his State Department financial disclosure forms. At this time, the appointee was Ambassador LAWRENCE's superior at the Department of State. [redacted] advised that he intended to interview the appointee concerning this financial disclosure issue, when he was contacted by his superiors and advised that he should cancel this interview based on more information they had received in an anonymous letter.

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[redacted] advised that this anonymous letter complained that during the winter of 1994 to 1995, the Ambassador to Budapest received a call from the appointee. The American Embassy in Budapest was supporting an American company that was bidding for a contract with the Hungarian government regarding a telephone privatization deal. The company, SOLOMON Brothers, was the only American company bidding for this contract. The writer of the anonymous letter referred to this company as Merrill Lynch, but [redacted] discovered it was actually SOLOMON Brothers. [redacted] stated that this was a \$60 million contract. It was discovered,

Investigation on 7/22/98 at Arlington, VirginiaFile # 161A-HQ-1256328Date dictated 7/22/98by SA [redacted]b6
b7C

161A-HQ-1256328

Continuation of FD-302 of [REDACTED]

On 7/22/98

Page 2

according to this letter, that a company known as Credit Suisse First Boston (CSFB), located in New York City, New York, was also competing for this contract. The appointee received a telephone call from CSFB the day before the deal was to be decided. An official from CSFB realized that the Embassy was supporting SOLOMON Brothers and asked the appointee to intervene on their behalf. At this time, the appointee served as Assistant Secretary of State, and was superior to the Ambassador in Hungary. The Embassy in Budapest knew that CSFB was bidding as well and the Ambassador wrote a letter to the Hungarian government backing SOLOMON Brothers and saying that they were the best company for the job. Apparently, this letter was leaked to the press and [REDACTED] CSFB, contacted the Ambassador and was irate that the Embassy was backing SOLOMON Brothers. [REDACTED] served as [REDACTED] in the BUSH administration. The Ambassador advised [REDACTED] that they were not an American company which is why the Embassy was backing only SOLOMON Brothers. [REDACTED] advised the Ambassador that they employed a great number of Americans and they were located in New York. The Ambassador learned that the CSFB was majority Swiss owned. The Ambassador placated [REDACTED] by saying that he may send a letter to support CSFB. A couple of days later, the Ambassador received a telephone call from the appointee stating that [REDACTED] showed up at the appointee's office in Washington, D.C., unannounced to see why they were not backing CSFB. The Ambassador was told by the appointee to back them anyway and the appointee dictated a letter advising the Ambassador of what to say.

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The day after the appointee left his employment at the Department of State, he became the Vice Chair of Credit Suisse First Boston with a salary and bonuses of \$1.3 million.

The anonymous letter also mentioned that the appointee has, in his current position of Vice Chair of CSFB, asked for meetings with high level officials in foreign governments and has taken ambassadors with him to these meetings. The letter alleges that having ambassadors in on these sales meetings has given the impression that the appointee is enjoying a "quasi official status" while working at CSFB, most likely because of his reputation concerning his initiative with the Dayton Peace Accord.

161A-HQ-1256328

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Continuation of FD-302 of [REDACTED]

, On 7/22/98

, Page 3

[REDACTED] stated that the following are the main issues of importance that his office is investigating at this time:

-When did the appointee negotiate his current position with Credit Suisse First Boston (CSFB)?

-The appointee's actions taken on behalf of CSFB while he was Assistant Secretary of State.

-The appropriateness of using ambassadors on sales calls.

-Financial disclosure concerning living at the LAWRENCE residence.

[REDACTED] advised that he has interviewed the appointee regarding the financial disclosure issue and the other matters. The appointee advised [REDACTED] that he did call the Ambassador in Hungary and intervened on behalf of CSFB because [REDACTED] showed up at his office. The appointee claimed that he discovered through the Department of Commerce that CSFB was primarily an American owned company. The appointee advised [REDACTED] that he had never met any officials from CSFB prior to this incident. However, [REDACTED] advised that the appointee's employment to the Department of State was with Lehman Brothers, Inc. and questions whether or not the appointee had any prior business dealings with CSFB.

[REDACTED] advised that the appointee met with [REDACTED] a high level official at CSFB in June 1995 to talk about working at CSFB. [REDACTED] was [REDACTED] in the Nixon administration. The appointee advised that he intervened on behalf of CSFB with the Embassy in Hungary in the winter of 1995. [REDACTED] stated that witnesses have provided that date to be April 1995 which is less than sixty days prior to the meeting with [REDACTED]

Additionally, [REDACTED] advised that when the appointee was residing at Ambassador LAWRENCE's Georgetown home, LAWRENCE's financial disclosure form reflected in excess of one million dollars in an account at Credit Suisse First Boston. [REDACTED] is not aware of how long Ambassador LAWRENCE had this account. The appointee advised [REDACTED] that Ambassador LAWRENCE had nothing to do

161A-HQ-1256328

Continuation of FD-302 of [REDACTED]

, On 7/22/98

, Page 4

with him obtaining his position with CSFB.

[REDACTED] also advised that the appointee stated that he filed recusal letters with the legal department at the Department of State regarding CSFB and any other company concerning talks for future employment. The appointee advised that he did this in the summer of 1995. However, a review of the records at State indicate that he did this in December 1995. The appointee advised that he spoke with [REDACTED] with State, about moving into Ambassador LAWRENCE's home in Georgetown. The appointee advised that [REDACTED] stated it would not be a problem. [REDACTED] advised [REDACTED] that he had no recollection of this conversation. [REDACTED] notes reflect that the appointee mentioned recusal letters but [REDACTED] has not located them.

[REDACTED] advised that he has discussed this matter with [REDACTED] and [REDACTED] Attorneys, Public Integrity Section, United States Department of Justice, 1400 New York Avenue, Washington, D.C., telephone number (202) 514-1412. [REDACTED] stated that the appointee is aware of this investigation.

[REDACTED] stated that Secretary MADELEINE ALBRIGHT has been briefed concerning this investigation. Also, the Legal Department and Office of Inspector General, U.S. Department of State are aware of this matter.

This investigation was officially opened on July 16, 1998. [REDACTED] advised that he is currently drafting subpoenas for all records at CSFB relating to the appointee and he is conducting numerous interviews of witnesses. He does not know when this investigation will be concluded or if it will be referred for criminal prosecution at this time.

(The attached and incorporated copy of a four page anonymous letter and envelope initiated this investigation.)

- 1 -

FEDERAL BUREAU OF INVESTIGATION

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b7CDate of transcription 7/23/98

[redacted] Special Agent, Office of Inspector General (OIG), United States Department of State, 1700 N. Moore Street, Room 910, Arlington, Virginia, was re-contacted concerning the OIG criminal investigation on the appointee, RICHARD CHARLES ALBERT HOLBROOKE. Having previously been apprised of the identity of the interviewing Agent [redacted] provided the following information:

The anonymous letter concerning certain criminal allegations regarding the appointee was addressed to the Inspector General of the Department of State. This letter was received by the front office, and more specifically, likely received by [redacted] in the absence of the Inspector General who was on vacation at the time. The letter was dated June 19, 1998 and was received on July 8, 1998. It was mailed from overseas and [redacted] is not aware of what country it came from.

[redacted] advised that the matter concerning the burial of Ambassador LARRY LAWRENCE, was a preliminary investigation he was working in conjunction with the FBI Campaign Contributions investigation in December 1997.

The appointee was first interviewed regarding these matters on July 14, 1998.

[redacted] is unsure of the exact date that Secretary MADELEINE ALBRIGHT was briefed on this investigation but stated that [redacted] for Investigations, Department of State, (202) 647-[redacted] would have this information.

[redacted] could not recall the date he met with the Department of Justice, Public Integrity Section. He stated that this investigation is being coordinated with the Department of Justice, Public Integrity Section.

[redacted] was not sure of the exact address of LAWRENCE's home in Georgetown and asked writer for the address she had as the appointee's previous residence. She advised that it was 1527 35th Street NW, Washington, D.C. [redacted] advised that this sounded

Investigation on 7/23/98 at Falls Church, Virginia (telephonically)

File # 161A-HQ-1256328 Date dictated 7/23/98

by SA [redacted]

161A-HQ-1256328

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Continuation of FD-302 of SA , On 7/23/98, Page 2

like the address.

advised that he is leaving on instant date for London, England concerning this matter. He will return on Thursday, July 30, 1998. He advised that no one in his office, including the Inspector General, would have specific information concerning this case as he will have all of the notes with him.

- 1 -

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 7/23/98

[redacted] for
Investigations, Office of Inspector General, United States
Department of State, was advised of the identity of the
interviewing Agent and the purpose of the interview, that being
to obtain information concerning the criminal investigation being
conducted by his office regarding the appointee, RICHARD CHARLES
ALBERT HOLBROOKE. [redacted] furnished the following information:

Secretary MADELEINE ALBRIGHT was briefed on this matter
on Monday, July 20, 1998.

Investigation on 7/23/98 at Falls Church, Virginia (telephonically)
File # 161A-HO-1256328 Date dictated 7/23/98
by SA [redacted] b6
b7C

- 1 -

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 7/23/98

[redacted] Trial Attorney, Public Integrity Section (PIS), United States Department of Justice (DOJ), 1400 New York Avenue NW, Washington, D.C., was advised of the identity of the interviewing Agent and the purpose of the interview, that being to obtain information from him concerning a meeting that transpired with SA [redacted] OIG, DOS, regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE. [redacted] furnished the following information:

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[redacted] met with SA [redacted] on July 10, 1998, concerning possible criminal allegations regarding the appointee. [redacted] advised that his office routinely meets with the OIG, DOS concerning matters of interest. [redacted] stated that this was an informal meeting in which [redacted] was obtaining legal guidance. There has not been a formal referral in this matter and the PIS has not opened an official investigation to date. [redacted] advised that [redacted] office is coordinating this investigation in a general sense at this point.

Investigation on 7/23/98 at Falls Church, Virginia (telephonically)File # 161A-HQ-1256328 Date dictated 7/23/98by SA LESLIE T. FAIRBAIRN

WFO 161A-HQ-1256328

VJM:vjm

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RECORD CHECK

Recorder of Deeds
515 D Street, Northwest
Washington, D. C.

On July 23, 1998, Investigative Analyst (IA) [REDACTED] caused a search to be made of the files of the Washington, D. C. (WDC) Recorder of Deeds concerning, RICHARD CHARLES ALBERT HOLBROOKE, 1527 35th Street, Northwest, Washington, D. C. at the above captioned agency.

IA [REDACTED] search of the Land Record Database, utilizing Square # 1253 and Lot # 840, pertinent to 1527 35th Street, Northwest concerning HOLBROOKE was met with negative results. A manual search of records of Square #1253, Lot # 840, did not reflect any Deeds and or Deeds of Trust in the name of RICHARD CHARLES ALBERT HOLBROOKE.

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IA [REDACTED] search of the General DOcument Database reflected no records concerning any liens, judgements and/or financial statements filed against HOLBROOKE.

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD
DENVER	BUREAU	7/24/98	07/24/1998
TITLE OF CASE		REPORT MADE BY	TYPED BY:
RICHARD CHARLES ALBERT HOLBROOKE			ecv
		CHARACTER OF CASE	
		LEVEL I - PAS	

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BUDED: 07/28/1998

REFERENCE: New York EC to FBIHQ, DATED 07/15/1998.

- P -

ADMINISTRATIVE:

Indices checks were conducted on the appointee with negative results.

All Denver leads covered.

APPROVED	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW			
COPIES MADE:					
2 - BUREAU (161A-HQ-1256328)					
ATTN: SIGBIU, RM 4371					
1 - DENVER (161A-HQ-1256328)					
DISSEMINATION RECORD OF ATTACHED REPORT		Notations			
Agency					
Request Recd.					
Date Fwd.					
How Fwd.					
By					

A*

COVER PAGE

161A-HQ-1256328-14

UNITED STATES DEPARTMENT OF JUSTICE
Federal Bureau of Investigation

Copy to:

Report of:

Date:

July 24, 1998

Office: Denver

Case ID #:

161A-HQ-1256328

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b7C

Title:

RICHARD CHARLES ALBERT HOLBROOKE

Character:

LEVEL I - PAS

Synopsis:

Civil and criminal case records reviewed at the United States Attorney's Office, Denver, Colorado.

DETAILS:

UNITED STATES ATTORNEY'S OFFICE

The following investigation was conducted by
Investigative Analyst (IA) [REDACTED]

On 07/24/1998, [REDACTED]
[REDACTED] United States Attorney's Office, Denver,
Colorado reviewed the civil and criminal case records at
her agency for any information identifiable with the
appointee, Richard Charles Albert Holbrooke [REDACTED]
advised the records failed to disclose any information
relative with the appointee.



U.S. Department of Justice

Federal Bureau of Investigation

POD: 8/3/98

PA5

80132

Washington, D. C. 20535

JUL 30 1998

BY COURIER

ALL INFORMATION CONTAINED

HEREIN IS UNCLASSIFIED

DATE 02-16-2011 BY 60324UCBAW/SB/CNW

Honorable Charles F. C. Ruff
Counsel to the President
The White House
Washington, D.C.

Dear Mr. Ruff:

Reference is made to my letter to your office dated July 17, 1998, which furnished the results of a Level I background investigation concerning Mr. Richard Charles Albert Holbrooke. Reference is also made to telephone calls on July 22, 1998, from Supervisory Personnel Security Specialist (SPSS) [redacted] and myself to Associate Counsel [redacted] of your office, advising of additional information developed concerning Mr. Holbrooke's background investigation. Enclosed is a summary memorandum containing the results of additional inquiries in this matter.

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EXTREME CAUTION SHOULD BE EXERCISED IN DISCUSSING THIS MATTER AS ANY DISCLOSURE OF THE DETAILS COULD JEOPARDIZE THE INVESTIGATION. Dissemination of the information disclosed in the enclosed summary memorandum has been cleared by the Office of the Deputy Attorney General.

This completes our limited inquiry. Should you have any questions regarding this matter, please contact SPSS [redacted] or myself, telephone number [redacted].

Sincerely yours,

WIA-HO-1256328-15

Chief
Special Inquiry and General
Background Investigations Unit

Dep. Dir.
Chief of
Staff
Off. of Gen.
Counsel
Asst. Dir.
Crim. Inv.
CIS
Financ.
Info. Rec.
Insp.
Lab.
National Sec.
Personnel
Training
Off. of EEOA
Off. of Public
Aff. & Cong. Aff.
Director's Office

Enclosure

MWS

CLOSED

MAIL ROOM

FBI/DOJ

Charles F. C. Ruff

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NOTE: This case was closed on July 17, 1998. On July 22, 1998, Associate Counsel [redacted] White House Counsel's Office, was telephonically advised by Unit Chief [redacted] and SPSS [redacted] of a recent criminal investigation concerning Mr. Holbrooke being conducted by the Office of the Inspector General, United States Department of State. [redacted] requested a limited inquiry concerning the matter. The limited inquiry is complete.

JUL 30 1998

RICHARD CHARLES ALBERT HOLBROOKE

This summary memorandum contains the results of a limited inquiry concerning Mr. Richard Charles Albert Holbrooke, and supplements the summary memorandum dated July 17, 1998.

The United States Department of State (DOS) Office of Inspector General (OIG) has recently advised the FBI that Mr. Holbrooke is the subject of a pending criminal investigation by the OIG. According to an OIG representative, the investigation was officially opened on July 16, 1998. Set forth below is information concerning the OIG investigation.

The OIG investigation involves four issues:

(1) Mr. Holbrooke's residing at the Georgetown mansion of former Ambassador Larry Lawrence from 1994 to 1996. At the time, Mr. Holbrooke was an Assistant Secretary of State and Ambassador Lawrence's superior at the DOS. Mr. Holbrooke did not disclose this information as a gift on his DOS financial disclosure forms.

(2) Negotiations by Mr. Holbrooke regarding his current position at Credit Suisse First Boston (CSFB).

(3) Mr. Holbrooke's actions taken on behalf of CSFB while he was an Assistant Secretary of State.

(4) Mr. Holbrooke's alleged use of ambassadors during sales meetings while at CSFB.

In regard to issues (2)-(4), on July 8, 1998, the DOS received an anonymous letter dated June 19, 1998, which set out allegations (2)-(4) in explicit detail.

Mr. Holbrooke is aware of the OIG investigation, and has been interviewed by the OIG concerning the above matters. On July 10, 1998, the OIG discussed its investigation with representatives of the Public Integrity Section, United States Department of Justice. Additionally, Secretary of State Albright has been briefed by the OIG. The OIG does not know when its investigation will be concluded or if the matter will be referred for criminal prosecution.

Dep. Dir. _____
Chief of Staff _____
Off. of Gen. Counsel _____
Asst. Dir.: _____
Crim. Inv. _____
CJIS _____
Finance _____
Info. Res. _____
Insp. _____
Lab. _____
National Sec. _____
Personnel _____
Training _____
Off. of EEOA _____
Off. of Public & Cong. Affs. _____
Director's Office _____

MAIL ROOM ☐

FBI/DOJ

Richard Charles Albert Holbrooke

No additional information can be provided at this time.

EXTREME CAUTION SHOULD BE EXERCISED IN DISCUSSING THIS
MATTER AS ANY DISCLOSURE OF THE DETAILS COULD JEOPARDIZE THE
INVESTIGATION.

Dissemination of the information disclosed in this summary memorandum has been cleared by the Office of the Deputy Attorney General.



U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535

RICHARD CHARLES ALBERT HOLBROOKE

This summary memorandum contains the results of a limited inquiry concerning Mr. Richard Charles Albert Holbrooke, and supplements the summary memorandum dated July 17, 1998.

On July 22, 1998, a representative of the Office of Inspector General (OIG), United States Department of State (DOS), advised the FBI that Mr. Holbrooke was the subject of a pending criminal investigation by the OIG. According to the representative, the investigation was officially opened on July 16, 1998. Set forth below is information concerning the OIG investigation.

The OIG investigation involves four issues:

(1) Mr. Holbrooke's residing at the Georgetown mansion of former Ambassador Larry Lawrence from 1994 to 1996. At the time, Mr. Holbrooke was an Assistant Secretary of State and Ambassador Lawrence's superior at the DOS. Mr. Holbrooke did not disclose this information as a gift on his DOS financial disclosure forms.

(2) Negotiations by Mr. Holbrooke regarding his current position at Credit Suisse First Boston (CSFB).

(3) Mr. Holbrooke's actions taken on behalf of CSFB while he was an Assistant Secretary of State.

(4) Mr. Holbrooke's alleged use of ambassadors in sales meetings while at CSFB.

In regard to issues(2)-(4), on July 8, 1998, the DOS received an anonymous letter dated June 19, 1998. This letter indicated that during the winter of 1994-1995, the American Embassy in Budapest was supporting an American company that was bidding for a \$60 million dollar contract with the Hungarian government regarding a telephone privatization deal. The company was the only American company bidding for this contract. According to the letter, CSFB, located in New York City, New York, was also competing for this contract. A day before the

Richard Charles Albert Holbrooke

deal was to be decided, Mr. Holbrooke received a telephone call from an CSFB official. The CSFB official realized that the American Embassy was supporting the American company and asked Mr. Holbrooke to intervene on CSFB's behalf. The American Embassy knew that CSFB was bidding on the contract, but had written the Hungarian government a letter in which it was supporting only the American company for the contract. Apparently, this letter was leaked to the press. A high ranking CSFB official then contacted the Ambassador in Budapest as to why the American Embassy was supporting the American company. The Ambassador told the CSFB official the reason. A couple of days later, the Ambassador to Budapest received a telephone call from Mr. Holbrooke in which Mr. Holbrooke advised that the same CSFB official had showed up unannounced at Mr. Holbrooke's office in Washington, D.C., to see why the American Embassy was not backing CSFB for the contract. Allegedly, the Ambassador was told by Mr. Holbrooke to back CSFB and Mr. Holbrooke dictated a letter advising the Ambassador of what to say.

The day after Mr. Holbrooke left his DOS employment, he became the Vice Chair of CSFB.

The anonymous letter also mentioned that Mr. Holbrooke, in his current position of Vice Chair of CSFB, asked for meetings with high level officials in foreign governments and has taken ambassadors with him to these meetings. The letter alleges that having ambassadors at these sales meetings has given the impression that Mr. Holbrooke is enjoying a "quasi official status" while working at CSFB.

Mr. Holbrooke is aware of the OIG investigation, and has been interviewed by the OIG concerning the above matters. The OIG has discussed their investigation with representatives of the Public Integrity Section, United States Department of Justice. Additionally, on July 20, 1998, Secretary of State Albright was briefed concerning the OIG investigation. The OIG does not know when their investigation will be concluded or if it will be referred for criminal prosecution.

No additional information can be provided at this time.

EXTREME CAUTION SHOULD BE EXERCISED IN DISCUSSING THIS MATTER AS ANY DISCLOSURE OF THE DETAILS COULD JEOPARDIZE THE INVESTIGATION.

Dissemination of the information disclosed in this summary memorandum has been cleared by the Office of the Deputy Attorney General.

80132

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD
New York	BUREAU	7/15/98	7/9 -7/15/98
TITLE OF CASE		REPORT MADE BY	TYPED BY:
RICHARD CHARLES HOLBROOKE		SA [REDACTED]	ctv
		CHARACTER OF CASE	
		LEVEL I - PAS	b6 b7c

- C -

On 7/13/98, a review of New York Office general indices revealed no derogatory information regarding RICHARD CHARLES HOLBROOKE, [REDACTED] TRUDI HOLBOOKE nee KEARL, STANLEY KEARL, [REDACTED]

APPROVED <i>[Signature]</i> SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW			
COPIES MADE: ② - Bureau (Attn: SIGBIU, Room 4371) 1 - New York (161E-HQ-1256328) NO DESTROYED <i>[Signature]</i>				
DISSEMINATION RECORD OF ATTACHED REPORT	Notations			
Agency				
Request Recd.				
Date Fwd.				
How Fwd.				
By				

7/30/98

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COVER PAGE

161A-HQ-1256328-16

FD-204 (Rev. 12-1-95)

UNITED STATES DEPARTMENT OF JUSTICE
Federal Bureau of Investigation

Copy to:

Report of:
Date:

SA

July 15, 1998

Office: New York b6
b7C

Case ID #:

161E-HQ-1256328

Title:

RICHARD CHARLES HOLBROOKE

Character:

LEVEL I - PAS

Synopsis:

Appointee interviewed and results set forth. Appointee's birth verified. Appointee's residence and employment verified with no derogatory information. Appropriate agency checks re appointee and his family set forth.

- C -

- 1 -

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 7/9/98

On July 9, 1998, RICHARD CHARLES ALBERT HOLBROOKE, 11 Madison Avenue, New York, New York, was interviewed and advised that the scope of the investigation would be from 1994 to present, and would cover all aspects of his adult life during that period. He then furnished the following information ..

He advised he was born April 24, 1941 at New York, New York.

He advised he has never served in the United States Military.

He advised he attended BROWN UNIVERSITY, Providence, Rhode Island, receiving a BA Degree in 1962. He noted he also attended two (2) classes at PRINCETON UNIVERSITY, Princeton, New Jersey, 1969 - 1970, no degree obtained. He stated he has attended no colleges since that time.

He advised he is currently Vice Chairman for CREDIT SUISSE FIRST BOSTON, 11 Madison Avenue, New York, New York, February, 1996 - present. He explained the above bank is involved in investment banking and he works in the Corporate Finance Section. He noted he has a number of clients he deals with, some are domestic and some are foreign. He explained he has traveled throughout the United States and the world on business matters for the above bank.

He stated he currently serves on several Advisory Boards and Boards of Directors, but noted he has sent notice to any and all Boards he is on that he is withdrawing from those Boards effective immediately. He stated he did not want to have it appear that there might be any possible conflict of interest between the position he is being considered for and any association with Boards in the past. He noted a number of the Boards that he has been affiliated in the past with have given him a stipend for appearing at regular scheduled Board meetings and appropriate consultation. He noted there are other various

Investigation on 7/9/98 at NEW YORK, NEW YORKFile # 161A-HQ-1256328Date dictated 7/9/98by SA b6
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Continuation of FD-302 of RICHARD CHARLES HOLBROOKE, On 7/9/98, Page 2

speeches a year on various subjects concerning his expertise in foreign affairs. He noted he has also written two books concerning political affairs and received compensation for that effort.

He explained he was married May 27, 1995 at [redacted] [redacted] and continues to be married to that individual. He noted the following individuals are family members:

Mother	TRUDI HOLBROOKE KEARL
Address	344 Sprain Road Scarsdale, New York

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Father	DANIEL HOLBROOKE
Address:	(deceased)

Stepfather	STANLEY KEARL
Address	344 Sprain Road Scarsdale, New York

Son	[redacted]
Address	New York, New York

Son	[redacted]
Address	New York, New York

Stepchild	[redacted]
Address	New York, New York

Stepchild	[redacted]
Address	New York, New York

Brother	[redacted]
Address	New York, New York

Father-In-Law	[redacted]
Address	

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Continuation of FD-302 of RICHARD CHARLES HOLBROOKE, On 7/9/98, Page 3Mother-In-Law
Addressb6
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[redacted] He noted he was formerly married to [redacted]
[redacted] having married her in 1964 and secured a divorce in
1972. He noted he was also formerly married to [redacted]
[redacted] having married her in 1977, but secured a divorce from her in
1980.

He advised he resides at [redacted]
[redacted] New York, New York, February, 1996 - present. He
explained the above apartment is a co-op which was purchased by
his wife prior to their marriage. He explained he and his wife
reside in that co-op as do his two stepchildren. He explained he
and his wife, who reside at [redacted] New York, New
York also own an additional private residence located at [redacted]
[redacted] New York. He explained that home was
purchased in 1994 and is listed under his wife's name. He noted
they spend occasional weekends at that private residence. He
explained he also owns a private residence at 47 Upper Church
Hill Road, New Milford, Connecticut. He explained he purchased
that private residence in 1987 and is used solely for rental
property. He explained he and his wife also own a private
residence located at [redacted] Colorado. He
explained he purchased that in 1991 and he and his wife visit
that location approximately 2-4 times a year. He explained that
private residence is up for sale and approximately one month ago,
he and his wife purchased a private residence located at [redacted]
[redacted] Telluride, Colorado as well. He explained all payments
and taxes are current, and he owns no other real estate or
property other than the above homes. He stated his properties
are not encumbered with any covenants pertaining to race, creed,
color or religion.

He advised he has left the United States over the past
four years and visited more than 25 countries. He explained they
were for the purpose of working for the State Department and
attending various business meetings. He noted the travel abroad
was occasionally for vacation purposes as well.

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Continuation of FD-302 of RICHARD CHARLES HOLBROOKE, On 7/9/98, Page 4

He advised his personal policy has been not to incur indebtedness and as such advised there are no outstanding loans against him. He stated there are no outstanding tax liens or judgements outstanding against him as well. He stated he does not have any federal, state or local tax obligations and noted all taxes are current and up to date. He stated that included Income taxes, Medicare taxes, Social Security taxes, and Unemployment taxes. He noted that he and his wife do utilize the services of a housekeeper, but while she is foreign born, she does not reside with them and all Social Security taxes concerning her salary have been paid on a timely basis.

He explained he does belong to the CENTURY CLUB, New York, New York. He noted it is social in nature, but stated he does not have an official or executive position with them. He stated to the best of his knowledge, they are not encumbered with any restrictions pertaining to race, color, creed or religion.

He stated there are no current or past circumstances known to him that could have a bearing on his suitability for federal employment or access to classified information. He stated he has never utilized prescription drugs or been involved in alcohol abuse, illegal drug use or participation in drug/alcohol counseling rehabilitation programs. He noted he has never been involved in any civil suits as a plaintiff or a defendant with the exception of two divorce proceedings. He noted he has never been involved in any criminal matters, as either a subject or a suspect, nor has he ever been charged with any criminal matters, arrests or convictions.

He stated he has never been denied employment and/or dismissed for any reason whatsoever.

He stated he has never had any professional complaints or any non/judicial actions taken against him.

He stated he has never utilized services of a psychiatrist, psychologist or any other qualified counselor..

He stated he formerly was a member of the UNITED STATES STATE DEPARTMENT and also served for a time as United States Ambassador to Germany, and as such consulted numerous leaders of foreign countries during that period. He explained he continues

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Continuation of FD-302 of RICHARD CHARLES HOLBROOKE . On 7/9/98 . Page 5

to meet numerous leaders of foreign countries, but has never said or done anything to the detriment of the United States. He stated he continues to be a loyal American citizen and felt there was nothing concerning his personal life which could be used to coerce him. He stated there are no business/investment circumstances that could involve or have involved conflict of interest allegations.

He stated he has never had any involvement in any organization which advocates the use of force to overthrow the United States government, or any involvement in the commission of sabotage, espionage or assistance of others.

He explained his wife, [REDACTED] was born

[REDACTED]

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He advised the SF-86 he signed and executed June 24, 1998 was complete and accurate to the best of his knowledge.

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BIRTH

On July 12, 1998, a review of records at BUREAU OF VITAL STATISTICS, New York, New York, determined RICHARD CHARLES ALBERLT HOLBROOKE was born April 24, 1941 at New York, New York. His birth was listed under Certificate Number 41-111424 and his listed parents were TRUDI and DANIEL HOLBROOKE.

161A-HQ-1256328
PAS:pas

NEIGHBORHOOD

[REDACTED]
New York, New York
February 1996 - Present

The following investigation was conducted by Special Agent [REDACTED]

On July 9, 1998, [REDACTED]
[REDACTED] New York, New York, telephone [REDACTED] advised that he has known the appointee since [REDACTED] was working for U.S. SENATOR JACOB JAVITS when he first met the appointee, who was working for the Foreign Service at the time. He advised that he is currently in contact with the appointee. He described the appointee as having excellent character, honest, trustworthy, forthright, straightforward, fully responsible and reliable with the highest level of integrity and morals. He stated that he has a good mental disposition and is emotionally stable. The appointee can maintain confidences, secrets and exercise appropriate discretion. He stated that the appointee gets along extremely well with others and associates with reputable, law abiding people. He stated that the appointee is absolutely loyal to the United States. He stated that the appointee has the highest personal and professional reputation. The appointee always presents a professional appearance. The appointee does not use illegal drugs, abuse alcohol or prescription medicine. He stated that the appointee's lifestyle and spending habits are consistent with his financial means. The appointee never displayed any form of violent, irrational or deviant behavior nor any bias or prejudice towards any group or organization. He stated that the appointee has a very stable personality. He was unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. He stated that he would completely recommend the appointee for a position of trust and confidence with the United States Government.

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[REDACTED] verified that the appointee has resided at [REDACTED]
[REDACTED] New York, New York from February 1996 to the present. [REDACTED] has known of no problems with the appointee since residing there.

On July 13, 1998, [REDACTED]
[REDACTED] A.K.A.M. AND ASSOCIATES, 420 Lexington Avenue, New York, New York, telephone (212)986-0001, advised that a review of their records revealed that the appointee presently resides at

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[redacted] and has resided there since February 1996. She advised that the appointee's wife, [redacted] [redacted] purchased the apartment back in October 1990. [redacted] further stated that there were no problems with the appointee and that he has regularly paid his fees on time.

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TMK:tmk

NEIGHBORHOOD

[REDACTED]
New York, New York 10024
February 1996 - Present

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The following investigation was conducted by Special Agent

[REDACTED]
On July 9, 1998, [REDACTED]

[REDACTED] New York, New York, advised that he has been in his current position for approximately four (4) years. [REDACTED] stated that he met the appointee approximately four (4) years ago by working at the building where the appointee resides. They are currently in contact. He described the appointee as a very nice, pleasant, professional and friendly individual, who is both responsible and reliable. [REDACTED] was unable to comment on the appointee's level of integrity and morals due to the limited nature of their relationship. The appointee has an even mental disposition and is emotionally stable. [REDACTED] was unable to comment on the appointee's ability to maintain confidences, secrets and exercise the appropriate discretion due to the limited nature of their relationship. The appointee gets along well with others and associates with reputable, law abiding people. The appointee is loyal to the United States and has a favorable reputation with the doormen and other tenants. The appointee presents a professional appearance. The appointee does not use illegal drugs, abuse alcohol or prescription medicine.

[REDACTED] was unable to comment on the appointee's lifestyle compared to his financial means due to the limited nature of their relationship. The appointee has a stable personality and does not display any form of violent, irrational or deviant behavior. [REDACTED] has never known the appointee to display any bias or prejudice towards any group or organization. He was unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. He concluded that the appointee is very pleasant, and he would certainly recommend him for a position of trust and confidence with the United States government.

On July 9, 1998 [REDACTED]

[REDACTED] New York, New York, advised that he has been in his current position for more than ten (10) years. [REDACTED] stated that he

met the appointee approximately ten (10) years ago in his capacity as a [redacted] New York, New York, when the appointee visited some of his associates that lived in the building. The appointee has since moved into the building. They are currently in contact. He described the appointee as a very down to earth, unpretentious, level headed individual, who is both responsible and reliable. [redacted] was unable to comment on the appointee's level of integrity and morals due to the limited nature of their relationship. The appointee has a very even consistent mental disposition and is emotionally stable. [redacted] was unable to comment on the appointee's ability to maintain confidences, secrets and exercise the appropriate discretion due to the limited nature of their relationship. The appointee gets along well with others and associates with reputable, classy, law abiding people. The appointee is loyal to the United States and has a positive reputation with the doormen and other tenants. The appointee presents a professional appearance. The appointee does not use illegal drugs, abuse alcohol or prescription medicine. [redacted] was unable to comment on the appointee's lifestyle compared to his financial means due to the limited nature of their relationship. The appointee has a stable personality and does not display any form of violent, irrational or deviant behavior. [redacted] has never known the appointee to display any bias or prejudice towards any group or organization. He was unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. He concluded that the appointee is trustworthy and he would definitely recommend him for a position of trust and confidence with the United States government.

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On July 9, 1998, [redacted]
[redacted] New York, New York, advised that he has been in his current position for more than three (3) years. [redacted] stated that he met the appointee approximately three (3) years ago by working at the building where the appointee resides. They are currently in contact. He described the appointee as a very polite, straightforward, happy individual. [redacted] was unable to comment on the appointee's level of integrity and morals due to the limited nature of their relationship. The appointee has a friendly mental disposition and is emotionally stable. [redacted] was unable to comment on the appointee's ability to maintain confidences, secrets and exercise the appropriate discretion due to the limited nature of their relationship. The appointee gets along well with others and associates with reputable, law abiding people. The appointee is loyal to the United States and has a positive reputation with the doormen and other tenants. The appointee presents a professional appearance. The appointee does not use illegal drugs, abuse alcohol or prescription medicine. [redacted] was unable to comment

on the appointee's lifestyle compared to his financial means due to the limited nature of their relationship. The appointee has a stable personality and does not display any form of violent, irrational or deviant behavior. [redacted] has never known the appointee to display any bias or prejudice towards any group or organization. He was unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. He concluded that the appointee is trustworthy, and he would recommend him for a position of trust and confidence with the United States government.

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On July 19, 1998, [redacted]
[redacted] New York, New York, advised that he has lived at his current address for approximately 12 years. [redacted] stated that he met the appointee approximately two (2) or three (3) years ago by living across the hall from him. They are currently in contact. He described his interaction with the appointee as limited and stated that the appointee is consistently friendly, well mannered, trustworthy, and intelligent. [redacted] was unable to comment on the appointee's level of integrity and morals due to the limited nature of their relationship. The appointee has a balanced mental disposition and is emotionally stable. [redacted] was unable to comment on the appointee's ability to maintain confidences, secrets and exercise the appropriate discretion due to the limited nature of their relationship. The appointee gets along well with others and associates with reputable, law abiding people. The appointee is loyal to the United States and has an excellent reputation with the tenants. The appointee presents an extremely professional appearance. The appointee does not use illegal drugs, abuse alcohol or prescription medicine. [redacted] was unable to comment on the appointee's lifestyle compared to his financial means due to the limited nature of their relationship. The appointee has a stable personality and does not display any form of violent, irrational or deviant behavior. [redacted] has never known the appointee to display any bias or prejudice towards any group or organization. He was unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. He concluded that he thinks highly of the appointee and he would certainly recommend him for a position of trust and confidence with the United States government.

On July 19, 1998 [redacted]
[redacted] New York, New York, advised that he has known the appointee since circa 1959, having met him as classmates and co-editors of the school newspaper at Brown University. [redacted] and the appointee currently reside in the same apartment building. They are currently in contact. He described his interaction with

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the appointee as limited and stated that the appointee is very bright, responsible, intelligent and knowledgeable about global affairs. [] stated that the appointee has a high level of integrity and morals. The appointee has an even mental disposition and is emotionally stable. [] was unable to comment on the appointee's ability to maintain confidences, secrets and exercise the appropriate discretion due to the limited nature of their relationship. The appointee gets along well with others and associates with reputable, law abiding people. The appointee is loyal to the United States and has a positive reputation. The appointee always presents a professional appearance. The appointee does not use illegal drugs, abuse alcohol or prescription medicine. [] was unable to comment on the appointee's lifestyle compared to his financial means due to the limited nature of their relationship. The appointee has a stable personality and does not display any form of violent, irrational or deviant behavior. [] has never known the appointee to display any bias or prejudice towards any group or organization. He was unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. He concluded that he would certainly recommend the appointee for a position of trust and confidence with the United States government.

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GM:ctv

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On July 14, 1998, a review of records at the NEW YORK CITY REGISTRAR'S OFFICE, 31 Chambers Street, New York, New York, determined [REDACTED] owns a co-op at [REDACTED] [REDACTED] New York, New York. A review of the file determined that there were no tax liens on the property, nor were there any restrictive covenants pertaining to race, creed, color or national origin concerning the above building.

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TMK:tmk

NEIGHBORHOOD

[redacted]
[redacted] New York
1994 - Present

The following investigation was conducted by Special Agent [redacted]

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On July 14, 1998, [redacted]
New York, [redacted]
was found to be a residence set back from the road, the view of which from the street was obstructed by trees and shrubbery. There were no sidewalks on either side of [redacted] A sign was posted in the ground at the top of the residence's driveway revealing the names [redacted] and [redacted] No house number was posted. The closest neighbors were located on both the east and west sides of the residence, approximately one-quarter mile in each direction. No trespassing signs and no soliciting signs were posted in close proximity to each of the neighbors' driveways.

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TMK:tmk

SUFFOLK COUNTY CLERK'S OFFICE

Suffolk County Clerk's Office
County Center
Route 24
Riverhead, New York

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On July 14, 1998, Special Agent [REDACTED] caused a search of the records of the Suffolk County Clerk's Office regarding the residence of [REDACTED] [REDACTED] New York. The search met with the following results:

The said residence is owned by [REDACTED] [REDACTED] New York, New York, and is zoned in [REDACTED]. The deed number of the said property is [REDACTED]. A mortgage was taken out against the property by [REDACTED] on 04/17/1995 with [REDACTED] NATIONAL BANK and is currently outstanding. No other liens or covenants on the property were noted.

161A-HQ-1256328
JNT:jnt

EMPLOYMENT

Credit Suisse First Boston
Eleven Madison Avenue
New York, NY 10010
February 1996 - Present

b6
b7C

The following investigation was conducted by Special Agents
[redacted] and [redacted]

On July 10, 1998, [redacted]
Human Resources, Credit Suisse First Boston Corporation. Eleven
Madison Avenue, New York, New York, telephone [redacted]
advised that a review of their files revealed that the appointee
worked there from February 29, 1996 until present with an office
title of Vice Chairman. He stated that the appointee was held in
high esteem and would definitely be eligible for rehire.

[redacted] described his character as committed, having a good
disposition, a great grasp of the world scene, quick on his feet,
articulate and concerned. He is responsible and reliable, with
exemplary integrity and morals. He stated that the appointee's
mental disposition and emotional stability are steady. He
maintains confidences, secrets, exercises appropriate discretion
and is honest. The appointee gets along well with others and
associates with reputable, law-abiding persons. The appointee is
definitely loyal to the United States. [redacted] stated that
appointee's personal and professional reputations are extremely
positive. He stated that the appointee's role with the company
is to increase market share through client development. The
appointee generates new business for the firm and at the same
time, pursues his roles as diplomat and statesman with equal
vigor. [redacted] described his work abilities as hardworking and
responsive. The appointee presents a professional appearance.
He stated that the appointee does not display any absence or
tardiness problems. The appointee does not use illegal drugs,
abuse alcohol or prescription medicine to [redacted] knowledge. He
could not comment on the appointee's lifestyle and spending
habits being consistent with his financial means. The appointee
has a stable personality and has not displayed any violent,
irrational or deviant behavior. The appointee never displayed
any bias or prejudice towards any group or organization. He is
unaware of any concealed activity or conduct which could be used
in any way to subject the appointee to influence, pressure,
coercion or compromise and/or would impact negatively on his
character, reputation, judgment or discretion. [redacted] stated
that he would highly recommend the appointee for a position of
trust and confidence with the United States Government.

161A-HQ-1256328
CLL:c11

b6
b7c

EMPLOYMENT

Credit Suisse First Boston
Eleven Madison Avenue
New York, NY 10010
February 1996 - Present

The following investigation was conducted by Special Agent

[REDACTED]

On July 13, 1998, [REDACTED]
Credit Suisse First Boston, Eleven Madison Avenue, New York, New
York, telephone [REDACTED] advised that he has known the
appointee for approximately three years, having met him through
their employment at Credit Suisse First Boston. He remains in
contact with him. He described his character as a bright person
who is involved with what he does and a good guy. He is
responsible and reliable, with the highest of integrity and
morals. He stated that the appointee's mental disposition and
emotional stability were steady. He maintains confidences,
secrets, exercises appropriate discretion and is honest. The
appointee gets along well with others and associates with
reputable, law-abiding persons. The appointee is loyal to the
United States. [REDACTED] stated that the appointee's personal and
professional reputations are highly regarded and unblemished. He
described his work abilities as hardworking and focused. The
appointee presents a professional appearance. He stated that the
appointee does not display any absence or tardiness problems.
The appointee does not use illegal drugs, abuse alcohol or
prescription medicine to [REDACTED] knowledge. The appointee's
lifestyle and spending habits are consistent with his financial
means. The appointee has a stable personality and has not
displayed any violent, irrational or deviant behavior. The
appointee never displayed any bias or prejudice towards any group
or organization. He is unaware of any concealed activity or
conduct which could be used in any way to subject the appointee
to influence, pressure, coercion or compromise and/or would
impact negatively on his character, reputation, judgment or
discretion. He stated that he would definitely recommend the
appointee for a position of trust and confidence with the United
States Government.

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CLL:cll

EMPLOYMENT

Credit Suisse First Boston
Eleven Madison Avenue
New York, NY 10010
February 1996 - Present

b6
b7C

The following investigation was conducted by Special Agents

[redacted] and [redacted]

On July 10, 1998, [redacted] Credit Suisse First Boston, Eleven Madison Avenue, New York, New York, telephone [redacted] [redacted] advised that he has known the appointee for approximately three years, having met him through their employment at Credit Suisse First Boston. He does not remain in contact with him. He described his character as a strong, opinionated person, with a soft side, who had a strong vision of what is right and wrong and was a tough negotiator. He was responsible and reliable, with good integrity and morals. He stated that the appointee's mental disposition and emotional stability were steady. He maintained confidences, secrets, exercised appropriate discretion and was honest. The appointee got along well with others and associated with reputable, law-abiding persons. The appointee was extremely loyal to the United States. [redacted] stated that appointee's personal and professional reputations were good. He described his work abilities as highly energetic. The appointee presented a professional appearance. He could not comment on the appointee's absence or tardiness. The appointee did not use illegal drugs, abuse alcohol or prescription medicine to [redacted] knowledge. He could not comment on the appointee's lifestyle and spending habits being consistent with his financial means. The appointee had a stable personality and did not display any violent, irrational or deviant behavior. The appointee never displayed any bias or prejudice towards any group or organization. He is unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgment or discretion. He stated that he would definitely recommend the appointee for a position of trust and confidence with the United States Government.

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CLL:c11

EMPLOYMENT

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Credit Suisse First Boston
Eleven Madison Avenue
New York, NY 10010
February 1996 - Present

The following investigation was conducted by Special Agents
[redacted] and [redacted]

On July 10, 1998, [redacted] Credit Suisse First Boston, Eleven Madison Avenue, New York, New York, telephone [redacted] advised that she has known the appointee for approximately three years, having met him through their employment at Credit Suisse First Boston. In addition, she stated that she had met him at Georgetown University, Washington, D.C. in the early 1980s. She remains in contact with him. She described his character as a person who is quite masterful of situations, very direct when necessary, team oriented, an incredible negotiator and has a good sense of humor. He is responsible and reliable, with the highest of integrity. She could not comment on his morals, stating that she did not know him well enough. She stated that the appointee's mental disposition and emotional stability were steady. He maintains confidences, secrets, exercises appropriate discretion and is honest. The appointee gets along well with others and associates with reputable, law-abiding persons. The appointee is loyal to the United States. [redacted] stated that the appointee's personal and professional reputations are respected; he is tough and self-confident. She described his work abilities as hardworking, dedicated, focused, pleasant to work with and he has a sense of duty to the firm. The appointee presents a professional appearance. She could not comment on the appointee's absence or tardiness. She stated that he travels often and is out of the office a lot. The appointee does not use illegal drugs, abuse alcohol or prescription medicine to [redacted] knowledge. She could not comment on the appointee's lifestyle and spending habits being consistent with his financial means. The appointee has a stable personality and has not displayed any violent, irrational or deviant behavior. The appointee never displayed any bias or prejudice towards any group or organization. She is unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgment or discretion. She stated that she would definitely recommend the appointee for a position of trust and confidence with the United States Government.

161A-HQ-1256328
CLL:c11

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EMPLOYMENT

Credit Suisse First Boston
Eleven Madison Avenue
New York, NY 10010
February 1996 - Present

The following investigation was conducted by Special Agents

[redacted] and [redacted]

On July 10, 1998, [redacted], Credit Suisse First Boston, Eleven Madison Avenue, New York, New York, telephone [redacted] [redacted] advised that he has known the appointee for approximately three years, having met him when he joined First Boston Function. He remains in contact with him. He described his character as a gregarious, focused, sharp person with a good business sense and a intense competitive side. He is responsible and reliable, with exemplary integrity and morals. He stated that the appointee's mental disposition and emotional stability were steady. He maintains confidences, secrets, exercises appropriate discretion and is honest. The appointee gets along well with others and associates with reputable, law-abiding persons. The appointee is definitely loyal to the United States. [redacted] stated that the appointee's personal and professional reputations are mixed. He stated that the appointee's role is not fully understood, thus causing the mixed feelings about his reputation. He described his work abilities as hardworking and responsive. The appointee presents a professional appearance. He stated that the appointee does not display any absence or tardiness problems, but has canceled out on functions at the last minute due to other priorities. The appointee does not use illegal drugs, abuse alcohol or prescription medicine to [redacted] knowledge. He could not comment on the appointee's lifestyle and spending habits being consistent with his financial means. The appointee has a stable personality and has not displayed any violent, irrational or deviant behavior. The appointee never displayed any bias or prejudice towards any group or organization. He is unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgment or discretion. He stated that he would definitely recommend the appointee for a position of trust and confidence with the United States Government.

[redacted] stated that [redacted] telephone [redacted] [redacted] is another person at this location that knows the appointee.

161A-HQ-1256328
CLL:c11

EMPLOYMENT

Credit Suisse First Boston
Eleven Madison Avenue
New York, NY 10010
February 1996 - Present

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The following investigation was conducted by Special Agent

[REDACTED]

On July 13, 1998, [REDACTED] Credit Suisse First Boston, Eleven Madison Avenue, New York, New York, telephone [REDACTED] advised that he has known the appointee for approximately one and one half years, having met him through their partnership at Credit Suisse First Boston. He remains in contact with him, occasionally. He described his character as a highly professional person with the highest of character. He is responsible and reliable, with the highest of integrity and morals. He stated that the appointee's mental disposition and emotional stability were steady and always in control. He maintains confidences, secrets, exercises appropriate discretion and is honest. The appointee gets along well with others and associates with reputable, law-abiding persons. The appointee is absolutely loyal to the United States. [REDACTED] stated that the appointee's personal and professional reputations are highly regarded and unblemished. He described his work abilities as hardworking and dedicated. The appointee presents a professional appearance. He stated that the appointee does not display any absence or tardiness problems. The appointee does not use illegal drugs, abuse alcohol or prescription medicine to [REDACTED] knowledge. [REDACTED] could not comment on the appointee's lifestyle and spending habits being consistent with his financial means. The appointee has a stable personality and has not displayed any violent, irrational or deviant behavior. The appointee never displayed any bias or prejudice towards any group or organization. He is unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgment or discretion. He stated that he would definitely recommend the appointee for a position of trust and confidence with the United States Government.

[REDACTED] concluded that the appointee is a terrific candidate.

161A-HQ-1256328
CLL:cll

EMPLOYMENT

Credit Suisse First Boston
Eleven Madison Avenue
New York, NY 10010
February 1996 - Present

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The following investigation was conducted by Special Agent

[REDACTED]

On July 13, 1998, [REDACTED]
Credit Suisse First Boston, Eleven Madison Avenue, New York, New York, telephone [REDACTED] advised that he has known the appointee since September, 1987, having met him when he interviewed her for a position as [REDACTED]. She remains in contact with him. She described his character as a straightforward, fair, upright, outstanding person who is responsible and reliable, with the highest of integrity and morals. She stated that the appointee's mental disposition and emotional stability were steady. He maintains confidences, secrets, exercises appropriate discretion and is honest. The appointee gets along well with others and associates with reputable, law-abiding persons. The appointee is definitely loyal to the United States, an outstanding citizen with the highest respect for the President and others in authority. [REDACTED] stated that appointee's personal and professional reputations are highly regarded and unblemished. She described his work abilities as well respected, bright and admired. The appointee presents a professional appearance. She stated that the appointee does not display any absence or tardiness problems. The appointee does not use illegal drugs, abuse alcohol or prescription medicine to [REDACTED] knowledge. The appointee's lifestyle and spending habits are consistent with his financial means. The appointee has a stable personality and has not displayed any violent, irrational or deviant behavior. The appointee never displayed any bias or prejudice towards any group or organization. She is unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgment or discretion. She stated that she would definitely recommend the appointee for a position of trust and confidence with the United States Government.

161A-HQ-1256328
JNT:jnt

EMPLOYMENT

Credit Suisse First Boston
Eleven Madison Avenue
New York, NY 10010
February 1996 - Present

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The following investigation was conducted by Special Agents

[redacted] and [redacted]

On July 10, 1998 [redacted] of Investment Banking, Credit Suisse First Boston Corporation, Eleven Madison Avenue, New York, New York, telephone [redacted] advised that he has known the appointee for two and one-half years, having met him through the job and remains in contact with him. [redacted] described his character as brave, cheerful, loyal, articulate, alert and honest. He is a good tough thinker, self-confident, carries himself well, very distinguishable in orientation and has the ability to move back and forth between the spheres of business and government. [redacted] stated that the firm's clients think highly of the appointee and are extremely impressed with his background. He is not arrogant or extreme, but tends to be very personable. He can relate to all players at every stage of negotiation and is very dedicated to the cause at hand. The appointee is responsible and reliable, with exemplary integrity and morals. He stated that the appointee's mental disposition and emotional stability were steady. He maintains confidences, secrets, exercises appropriate discretion and is honest. The appointee gets along well with others and associates with reputable, law-abiding persons. The appointee is definitely loyal to the United States. [redacted] stated that appointee's personal and professional reputations are extremely positive. [redacted] described the appointee's work abilities as hardworking and responsive. The appointee does not use illegal drugs, abuse alcohol or prescription medicine to [redacted] knowledge. He could not comment on the appointee's lifestyle and spending habits being consistent with his financial means. The appointee has a stable personality and has not displayed any violent, irrational or deviant behavior. The appointee never displayed any bias or prejudice towards any group or organization. He is unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgment or discretion. [redacted] believes that the appointee is a man willing to make terrific commitments to our country. He enthusiastically recommends him for a position of trust and confidence with the United States Government.

161A-HQ-1256328
JNT:jnt

EMPLOYMENT

Credit Suisse First Boston
Eleven Madison Avenue
New York, NY 10010
February 1996 - Present

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The following investigation was conducted by Special Agents

[redacted] and [redacted]

On July 10, 1998, [redacted] Credit Suisse First Boston Corporation, Eleven Madison Avenue, New York, New York, telephone (212) 325-2000, advised that he has known the appointee for two and one-half years, having met him through the job and remains in contact with him. [redacted] described his character as honest, civil, witty, sophisticated in a crisis situation and would unquestionably trust the appointee's judgement in matters of state and business. He is highly intelligent, well informed and uses information in an appropriate, but aggressive way. [redacted] stated that the appointee is quite good at his job and discovered opportunities that others in First Boston could not find. The appointee is responsible and reliable, with exemplary integrity and morals. He stated that the appointee's mental disposition and emotional stability were steady. He maintains confidences, secrets, exercises appropriate discretion and is honest. The appointee gets along well with others and associates with reputable, law-abiding persons. The appointee is definitely loyal to the United States. [redacted] stated that appointee's personal and professional reputations are extremely positive. [redacted] described the appointee's work abilities as hardworking and responsive. The appointee presents a professional appearance. The appointee does not use illegal drugs, abuse alcohol or prescription medicine to [redacted] knowledge. He could not comment on the appointee's lifestyle and spending habits being consistent with his financial means. The appointee has a stable personality and has not displayed any violent, irrational or deviant behavior. The appointee never displayed any bias or prejudice towards any group or organization. He is unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgment or discretion. [redacted] stated that he would highly recommend the appointee for a position of trust and confidence with the United States Government.

161A-HQ-1256328
CLL:cll

EMPLOYMENT

Credit Suisse First Boston
Eleven Madison Avenue
New York, NY 10010
February 1996 - Present

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The following investigation was conducted by Special Agent

[REDACTED]

On July 13, 1998 [REDACTED] - Head of Corporate and Investment Banking, Credit Suisse First Boston Eleven Madison Avenue, New York, New York, telephone [REDACTED] advised that he has known the appointee for approximately three years, having met him when the appointee applied for a position with Credit Suisse First Boston. He remains in contact with him. He described his character as a straightforward, good person. He is responsible and reliable, with good integrity and morals. He stated that the appointee's mental disposition and emotional stability were steady. He maintains confidences, secrets, exercises appropriate discretion and is honest. The appointee gets along well with others and associates with reputable, law-abiding persons. The appointee is absolutely loyal to the United States. [REDACTED] stated that the appointee's personal and professional reputations are good. He described his work abilities as hardworking and gets the job done. The appointee presents a professional appearance. He stated that the appointee does not display any absence or tardiness problems. The appointee does not use illegal drugs, abuse alcohol or prescription medicine to [REDACTED] knowledge. The appointee's lifestyle and spending habits are consistent with his financial means. The appointee has a stable personality and has not displayed any violent, irrational or deviant behavior. The appointee never displayed any bias or prejudice towards any group or organization. He is unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgment or discretion. He stated that he would definitely recommend the appointee for a position of trust and confidence with the United States Government.

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EMPLOYMENT

Credit Suisse First Boston
Eleven Madison Avenue
New York, NY 10010
February 1996 - Present

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The following investigation was conducted by Special Agent

[REDACTED]

On July 13, 1998, [REDACTED] Credit Suisse First Boston, Eleven Madison Avenue, New York, New York, telephone [REDACTED] advised that he has known the appointee for since April, 1996, having met him when he applied for a position as an [REDACTED] with Credit Suisse First Boston. He remains in contact with him. He described his character as a hardworking, energetic, intelligent person. He is responsible and reliable, with the good integrity and morals. He stated that the appointee's mental disposition and emotional stability were steady. He maintains confidences, secrets, exercises appropriate discretion and is honest. The appointee gets along well with others and associates with reputable, law-abiding persons. The appointee is loyal to the United States. [REDACTED] stated that the appointee's personal and professional reputations are those of a hardworking, energetic person. He described his work abilities as hardworking and energetic. The appointee presents a professional appearance. He stated that the appointee does not display any absence or tardiness problems. The appointee does not use illegal drugs, abuse alcohol or prescription medicine to [REDACTED] knowledge. The appointee's lifestyle and spending habits are consistent with his financial means. The appointee has a stable personality and has not displayed any violent, irrational or deviant behavior. The appointee never displayed any bias or prejudice towards any group or organization. He is unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgment or discretion. He stated that he would definitely recommend the appointee for a position of trust and confidence with the United States Government.

161A-HQ-1256328

TMK:tmk

ASSOCIATE

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The following investigation was conducted by Special Agent [REDACTED]

On July 14, 1998, [REDACTED]
[REDACTED] New York, New York, telephone number [REDACTED]
advised that he has known the appointee for in excess of twenty (20) years, having met him through their mutual involvement at the United Nations. Subsequent to their meeting, the appointee served as Assistant Secretary of State under [REDACTED]. They are currently still in contact. He described the appointee as a hardworking, capable, able and intelligent individual who is both responsible and reliable. The appointee possesses an unquestionably high level of integrity and morals. The appointee has a balanced mental disposition and is emotionally stable. The appointee can maintain confidences, secrets and exercises the appropriate discretion. The appointee gets along well with others and associates with reputable, law abiding people. The appointee is very loyal to the United States and has a reputation for being an honest and trustworthy individual. The appointee presents a professional appearance. The appointee does not use illegal drugs, abuse alcohol or prescription medicine. The appointee's lifestyle is consistent with his financial means. The appointee has a stable personality and does not display any form of violent, irrational or deviant behavior. [REDACTED] has never known the appointee to display any bias or prejudice towards any group or organization. He was unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. He concluded that the appointee is the ideal choice for a position of trust and confidence with the United States government, and he recommends him for such a position without question.

161A-HQ-1256328
VML:vml

ORGANIZATION

American Council on Germany
14 East 60th Street
New York, New York
1993-Present

The following investigation was conducted by Special Agent [REDACTED]

On July 10, 1998, [REDACTED] American Council on Germany, 14 East 60th Street, New York, New York, telephone number [REDACTED] advised that she has known the appointee since June, 1993, having met him during the planning of an organization function. [REDACTED] is still in contact with the appointee. [REDACTED] stated that the appointee became a member of the American Council on Germany (Council) in the Fall of 1993, shortly after he was appointed United States Ambassador to Germany. He was elected to the Council's board of directors in May, 1996. [REDACTED] stated that the appointee's duties in the organization usually called upon him to host organization functions and introduce guests. The appointee also acted as an advisor on diplomacy. [REDACTED] advised that the board of directors meet approximately four times per year. She stated, however, that the appointee never attended any of the meetings because he was usually traveling when the meetings were held. [REDACTED] described the Council as a not-for-profit organization whose goals are to promote good business, economic and cultural relations between the United States and Germany. The Council does not have any policies that restrict membership on the basis of sex, race, color, religion or national origin. [REDACTED] stated that membership in the Council is open to everyone. The appointee's position as a member of the board of directors is unpaid. [REDACTED] described the appointee as responsible, reliable, a good speaker at organization functions, and as having an excellent personality. She stated that the appointee has a high character with good morals and integrity. She advised that the appointee's mental disposition and emotional stability are good. The appointee can maintain confidences, secrets and exercise appropriate discretion. The appointee gets along well with others and associates with reputable, law-abiding people. [REDACTED] advised that the appointee is loyal to the United States and is admired and well liked both personally and professionally. He always presents a professional appearance and does not use illegal drugs, abuse alcohol or prescription medicine. The appointee's spending habits and lifestyle are within his financial means. He has a stable personality and has not displayed any form of violent, irrational, or deviant behavior. The appointee has never displayed any bias or prejudice towards any group or organization. [REDACTED] was unaware of any concealed

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activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. She highly recommended the appointee for a position of trust and confidence with the United States Government.

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VML:vml

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ORGANIZATION

The Trilateral Commission
345 East 46th Street
New York, New York
1973-Present

The following investigation was conducted by Special Agent [REDACTED]

On July 10, 1998 [REDACTED]
[REDACTED] The Trilateral Commission, 345 East 46th Street, New York, New York, telephone number [REDACTED] advised that he has known the appointee since 1972, having met him when the appointee was the editor of the publication FOREIGN POLICY. [REDACTED] is still in contact with the appointee. [REDACTED] stated that the appointee has been a member of the Trilateral Commission (Commission) intermittently since approximately 1973, but would leave the organization each time he entered government service, and reestablish his membership with the Commission when he concluded his government service. The appointee's membership position is unpaid, and the Commission is a not-for-profit organization. The Commission focuses on the three global democratic industrial powers, the European Union, North America, and Japan, and examines foreign policy issues and methods of fostering cooperation among them. The appointee's duties are advisory in nature and include assisting in writing reports. The Commission does not have any policies restricting membership on the basis of sex, race, color, religion or national origin. [REDACTED] described the appointee as extremely energetic, highly intelligent, dedicated, responsible, reliable, and with a high capacity for work. He stated that the appointee has high morals and integrity. He advised that the appointee's mental disposition and emotional stability are good. [REDACTED] advised that the appointee is often forceful and animated in asserting his position, but never irrational. The appointee can maintain confidences, secrets and exercise appropriate discretion. The appointee gets along well with others and associates with reputable, law-abiding people. [REDACTED] advised that the appointee is absolutely loyal to the United States. [REDACTED] stated that the appointee is highly thought of both personally and professionally, but does have some critics who say that he is overly ambitious. He always presents a professional appearance and does not use illegal drugs, abuse alcohol or prescription medicine. The appointee's spending habits and lifestyle are within his financial means. He has a stable personality and has not displayed any form of violent, irrational, or deviant behavior. The appointee has never displayed any bias or prejudice towards any group or organization. [REDACTED] was unaware of any concealed activity or conduct which could be used in any way

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to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. [redacted] recommended the appointee for a position of trust and confidence with the United States Government.

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VML:vml

ORGANIZATION

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Council on Foreign Relations
58 East 68th Street
New York, New York
1970-Present

The following investigation was conducted by Special Agent [REDACTED]

On July 10, 1998, [REDACTED] Council on Foreign Relations, 58 East 68th Street, New York, New York, telephone number [REDACTED] advised that he has known the appointee since 1971, having met him when [REDACTED] was working in the White House for the Nixon Administration and the appointee was also working in government service. [REDACTED] remains in frequent contact with the appointee. [REDACTED] advised that the appointee has been a member of the Council on Foreign Relations (Council), a not-for-profit organization, since 1970. The appointee is a member of the board of directors, an unpaid position. The Council is a nonpartisan group devoted to the study of foreign policy, and publishes the journal FOREIGN AFFAIRS. The appointee's duties include chairing committees and providing his expertise and knowledge in foreign policy areas. [REDACTED] advised that the Council does not have any policies restricting membership on the basis of sex, race, color, religion or national origin, and is devoted to increasing minority representation. [REDACTED] described the appointee as having an excellent character, and totally responsible and reliable. He advised that the appointee has good morals and integrity. He advised that the appointee's mental disposition and emotional stability are good. The appointee can maintain confidences, secrets and exercise appropriate discretion. The appointee gets along well with others and associates with very reputable, law-abiding people. [REDACTED] advised that the appointee is unquestionably loyal to the United States. [REDACTED] stated that the appointee has a good reputation and is considered one of the brightest and most able people in the field of foreign policy professionals. [REDACTED] advised that the appointee gets along well with most people, even though he is aggressive in asserting his views. He always presents a professional appearance and does not use illegal drugs, abuse alcohol or prescription medicine. The appointee's spending habits and lifestyle are within his financial means. He has a stable personality and has not displayed any form of violent, irrational, or deviant behavior. The appointee has never displayed any bias or prejudice towards any group or organization. [REDACTED] was unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement

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or discretion. enthusiastically recommended the appointee for a position of trust and confidence with the United States Government, and stated that his appointment was a brilliant choice.

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VML:vm1

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ORGANIZATION

Citizens Committee for New York City
305 Seventh Avenue
New York, New York
1992-Present

The following investigation was conducted by Special Agent [REDACTED]

On July 10, 1998, [REDACTED] Citizens Committee for New York City (Committee), 305 Seventh Avenue, New York, New York, telephone number (212)989-0909, advised that he has known the appointee for five years, having been introduced to him by the chairman of the Committee. [REDACTED] is still in contact with the appointee. [REDACTED] advised that the appointee has been a member of the Committee intermittently since September, 1992, but would leave the organization each time he entered government service, and reestablish his membership with the Committee when he concluded his government service. The appointee was made a member of the board of directors, an unpaid position. The objective of the Committee, a not-for-profit organization, is to improve the quality of life in New York City by assisting approximately 12,000 block, neighborhood, and resident associations through various programs. The appointee's duties entail providing oversight, direction, developing program ideas, and identifying sources of financial support. The Committee does not have any policies that restrict membership on the basis of sex, race, color, religion or national origin. [REDACTED] described the appointee as very passionate advocate of peace and the ending of suffering. The appointee is a responsible and reliable person, with great integrity and morals. He advised that the appointee's mental disposition and emotional stability are good. The appointee can maintain confidences, secrets and exercise appropriate discretion. The appointee gets along well with others and associates with reputable, law-abiding people. [REDACTED] advised that the appointee is loyal to the United States and has an excellent reputation. He always presents a professional appearance and does not use illegal drugs, abuse alcohol or prescription medicine. The appointee's spending habits and lifestyle are within his financial means. He has a stable, thoughtful personality and has not displayed any form of violent, irrational, or deviant behavior. The appointee has never displayed any bias or prejudice towards any group or organization. [REDACTED] was unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. He highly recommended the appointee for a position of trust and confidence with the United States Government.

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VML:vml

ORGANIZATION

International Capital Markets Advisory
Committee for the New York Stock Exchange
11 Wall Street
New York, New York
1996-Present

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The following investigation was conducted by Special Agent [REDACTED]

On July 10, 1998, [REDACTED] International and Resource Group for the New York Stock Exchange, 11 Wall Street, New York, New York, telephone number (212)656-6161, advised that she has does not know the appointee personally but does know within the scope of her employment the appointee's affiliation with the International Capital Markets Advisory Committee for the New York Stock Exchange (Advisory Committee). [REDACTED] stated that the appointee became a member of the Advisory Committee's board of directors in February of 1996. This is an unpaid position. The Advisory Committee is a not-for-profit organization which studies international capital markets. The appointee's duties are advisory in nature. She stated that the appointee has never attended any meetings as he was always traveling each time meetings were held. The Advisory Committee does not have any policies that restrict membership on the basis of sex, race, color, religion or national origin. [REDACTED] was unable to provide any further information.

161A-HQ-1256328
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ORGANIZATION

International Rescue Committee b6
122 East 42nd Street b7C
New York, New York
1985-Present

The following investigation was conducted by Special Agent [REDACTED]

On July 10, 1998 [REDACTED]
[REDACTED] International Rescue Committee (Rescue Committee), 122 East 42nd Street, New York, New York, telephone number [REDACTED]
[REDACTED] advised that she has known the appointee since 1985 when he began working with the Rescue Committee. She remains in contact with him. [REDACTED] stated that the appointee became a member of the board of directors of the Rescue in 1985. This is an unpaid position. His membership has been intermittent as he leaves the Rescue Committee each time he enters government service, and rejoins the organization when his government service is concluded. The objective of the Rescue Committee, a not-for-profit organization, is to provide relief and resettlement services for refugees around the world. The appointee's duties as a member of the board of directors is to set policy for the organization and to provide advice on areas of expertise. The Rescue Committee does not have any policies that restrict membership on the basis of sex, race, color, religion or national origin. [REDACTED] described the appointee as bright, focussed on goals, and direct. The appointee is a responsible and reliable person, with good integrity and morals. She advised that the appointee's mental disposition and emotional stability are good. The appointee can maintain confidences, secrets and exercise appropriate discretion. The appointee gets along well with others and associates with reputable, law-abiding people. [REDACTED] advised that the appointee is loyal to the United States and is very much admired by his peers. He always presents a professional appearance, and does not use illegal drugs, or abuse alcohol or prescription medicine. The appointee's spending habits and lifestyle are within his financial means. He has a stable personality and has not displayed any form of violent, irrational, or deviant behavior. The appointee has never displayed any bias or prejudice towards any group or organization. [REDACTED] was unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. She recommended the appointee for a position of trust and confidence with the United States Government.

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ORGANIZATION

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Refugees International
2639 Connecticut Avenue NW
Washington, DC
1994-Present

The following investigation was conducted by Special Agent [REDACTED]

On July 10, 1998, [REDACTED] for External Relations, American International Group, 70 Pine Street, New York, New York, telephone number [REDACTED] advised that he has known the appointee since 1964, having met when both were officers in the foreign service in Vietnam. He remains in frequent contact with the appointee. [REDACTED] is currently a member of Refugees International. [REDACTED] stated that the appointee has been a member of Refugees International, a not-for-profit organization, for approximately four years, and has served as chairman of the board of directors, an unpaid position. [REDACTED] advised that the appointee's duties are advisory in nature. [REDACTED] stated that the objectives of Refugees International are to focus attention on ending situations abroad likely to produce human tragedy and refugees, to influence the United States to aid in resolving these situations, and to provide humanitarian support for groups abroad in need. Refugees International does not have any policies that restrict membership on the basis of sex, race, color, religion or national origin. [REDACTED] described the appointee as intense, hard charging, driven, enormously ambitious, and committed. The appointee is a responsible and reliable person, with a terrific sense of principles. He has good integrity and morals. [REDACTED] advised that the appointee's mental disposition, judgement and emotional stability are good. The appointee can maintain confidences, secrets and exercise appropriate discretion. The appointee gets along well with others, but is hard on people who disagree with his views. The appointee, however, is never unprofessional. [REDACTED] advised that the appointee is loyal to the United States. He always presents a professional appearance and does not use illegal drugs, abuse alcohol or prescription medicine. The appointee's spending habits and lifestyle are within his financial means. He has a stable personality and has not displayed any form of violent, irrational, or deviant behavior. The appointee has never displayed any bias or prejudice towards any group or organization. [REDACTED] was unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. He recommended the appointee for a position of trust and confidence with the United States Government.

161A-HQ-1256328
IBV:ibv

ORGANIZATION

American Academy in Berlin
14 East 60th Street
New York, New York
1994-Present

b6
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The following investigation was conducted by Special Agent [REDACTED]

On July 10, 1998, [REDACTED] American Academy in Berlin, 14 east 60th Street, New York, New York, telephone number (212)588-1755, advised that he has known the appointee since approximately 1994, having met him through the appointee's wife, an associate of [REDACTED] at Columbia University. He remains in regular contact with the appointee. [REDACTED] stated that the appointee became a member of the American Academy in Berlin (Academy), a not-for-profit organization, in 1994. The appointee held the position of chairman, an unpaid position. His duties included fund raising, hiring staff and organizing major conferences. The Academy's goal is to advance commercial and cultural understanding between Germany and the United States. The Academy does not have any policies that restrict membership on the basis of sex, race, color, religion or national origin. [REDACTED] described the appointee as fair and honest, a good decision maker, and an ethical, honorable person, who is passionate about his beliefs. The appointee is responsible and reliable. He commented favorably on his integrity, stating that the appointee is a highly moral man. He advised that the appointee's mental disposition and emotional stability are strong. The appointee can maintain confidences, secrets and exercise appropriate discretion. The appointee has a good reputation, and is known for being able to get things done. Although some people find him demanding, the appointee generally gets along well with others and associates with reputable, law-abiding people. [REDACTED] advised that the appointee is loyal and patriotic to the United States. He always presents a professional appearance, and does not use illegal drugs, or abuse alcohol or prescription medicine. The appointee's spending habits and lifestyle are within his financial means. He has a stable personality and has not displayed any form of violent, irrational, or deviant behavior. The appointee has never displayed any bias or prejudice towards any group or organization. [REDACTED] was unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. He recommended the appointee for a position of trust and confidence with the United States Government.

161A-HQ-1256328
GM:ctv

DEPARTMENT OF MOTOR VEHICLES
NEW YORK, NEW YORK

On July 14, 1998, a review of records at the NEW YORK STATE DEPARTMENT OF MOTOR VEHICLES, New York, New York, revealed RICHARD HOLBROOKE, DOB April 24, 1941 at New York, has a valid New York State Drivers License. The record indicated his file was clear and there were no traffic violations issued to him.

161A-HQ-1256328
IBV:ibv

ORGANIZATION

THE KOREA SOCIETY
950 3RD Avenue
New York, New York
1979-Present

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The following investigation was conducted by Special Agent [REDACTED]

On July 14, 1998, [REDACTED]
[REDACTED] THE KOREA SOCIETY (SOCIETY), 590 3RD Avenue, New York, New York, telephone number (212)759-7525, advised that he has known the appointee since 1979, having met him at the White House. [REDACTED] is still in contact with the appointee. [REDACTED] stated that the appointee was not a member of the SOCIETY and has not held an office. However, he has cochaired the SOCIETY's annual dinner and has spoken at the annual dinner to support the organization. The appointee has also written fund raising letters on behalf of the SOCIETY. [REDACTED] described the SOCIETY as a not-for-profit organization whose goals are to promote better understanding between Korea and the United States. The SOCIETY does not have any policies that restrict membership on the basis of sex, race, color, religion or national origin. [REDACTED] stated that membership in the SOCIETY is open to everyone. The appointee has not been paid for his contributions to the SOCIETY. [REDACTED] described the appointee as responsible and reliable. [REDACTED] stated that the appointee has morals and integrity beyond reproach. He advised that the appointee's mental disposition and emotional stability are good. The appointee can maintain confidences, secrets and exercise appropriate discretion. The appointee gets along well with others and associates with reputable, law-abiding people. [REDACTED] advised that the appointee is loyal to the United States and is admired and well liked both personally and professionally. He always presents a professional appearance and does not use illegal drugs, abuse alcohol or prescription medicine. The appointee's spending habits and lifestyle are within his financial means. He has a stable personality and has not displayed any form of violent, irrational, or deviant behavior. The appointee has never displayed any bias or prejudice towards any group or organization. [REDACTED] was unaware of any concealed

161A-HQ-1256328

activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. He highly recommended the appointee for a position of trust and confidence with the United States Government.

161A-HQ-1256328
GM:ctv

UNITED STATES ATTORNEY'S OFFICE
NEW YORK, NEW YORK

On July 14, 1998, a review of records at the UNITED STATES ATTORNEY'S OFFICE, Southern District of New York, New York, New York, and UNITED STATES ATTORNEY'S OFFICE, Eastern District of New York, Brooklyn, New York, revealed no file identifiable for RICHARD CHARLES ALBERT HOLBROOKE in either the Civil Division or Criminal Division of the above federal agencies.

161A HQ/1256328

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Miscellaneous

On July 17, 1998 IA [REDACTED] advised a search of records at the New York City Department of Finance, 25 Elm Place, Brooklyn, New York determined RICHARD HOLBROOKE, DOB: 04/24/41 at New York had several liens placed on his account in the past. It was determined that it had to do with payment of the appointee's Un-incorporated Business Tax for several years in the early 1990's. He stated the record did not contain any specific references to a specific payment of \$326.00 concerning interest or penalty against HOLBROOKE for late submission of taxes due. It was further determined that there was no outstanding monies owed to New York by HOLBROOKE and his record was clear and up to date. The record indicated the appointee's listed residence was 211 Central Park West, New York, NY.

On July 17, 1998 [REDACTED] STARR and COMPANY, 350 Park Avenue, New York, NY advised the above accounting firm currently handles RICHARD and KATI HOLBROOK's financial accounting matters. He explained the above firm has handled the HOLBROOK account since last year. He stated a review of records did not contain any reference or material pertaining to the \$326.00 payment in question to the New York City Department of Finance. He stated he is in contact with the appointee's former accounting firm and their transference of his records to the above firm. He stated HOLBROOKE is in complete compliance with his taxes relating to New York and his current record is clear.

On July 17, 1998 [REDACTED] MAHONEY, COHEN and COMPANY, 111 W. 40th Street, New York, NY advised the above company formerly handled the appointee's financial accounting transactions. She noted HOLBROOKE changed firms last year to STARR and COMPANY, New York, NY. She stated she is currently in the process of turning over all records of the appointee to that firm. She stated she reviewed all documents and returns but could not find any reference to the payment of \$326.00 to New York City. She said she does not have any copies of canceled checks and could not furnish any exact date when such a payment was sent to the New York City Department of Finance. She added, that up to last year he was in complete compliance with his New York taxes and his record was clear.

161A-HQ-1256328
GM:ctv

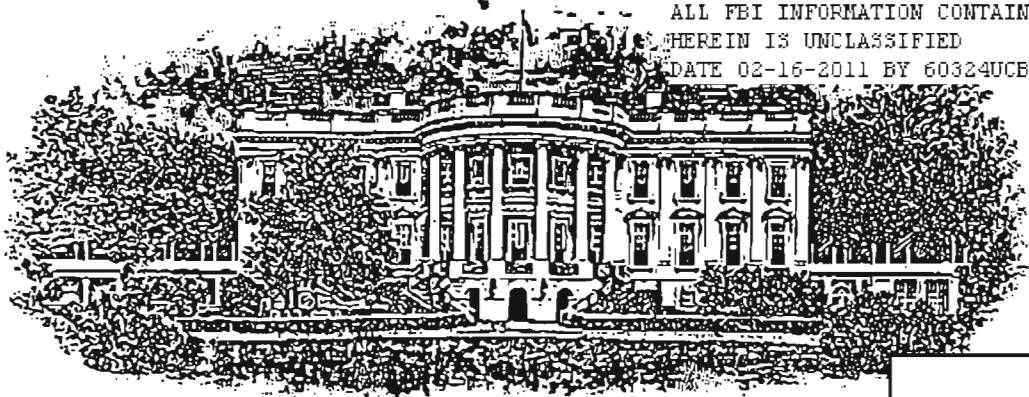
ARREST

On July 15, 1998, a review of records at the NEW YORK CITY POLICE DEPARTMENT, New York, New York, revealed no file identifiable for RICHARD CHARLES ALBERT HOLBROOKE.

On July 15, 1998, a review of records at the BRIDGEHAMPTON POLICE DEPARTMENT, Bridgehampton, New York, revealed no file identifiable for RICHARD CHARLES ALBERET HOLBROOKE.

The White House

313



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DATE 02-16-2011 BY 60324UCBAW/SB/CMW

COUNSEL'S OFFICE

Facsimile Transmission Cover Sheet

Telephone 202 456-6229
Fax 202 456-2146

PSS: [redacted]

RECEIVED: AUG 25 1998

ASSIGNED: 8-25-98

OPENED: 8-25-98

BUDED: 8-28-98

PCD: 9-1-98

DATE: 8/24/98

TO: [redacted]

FACSIMILE NUMBER: 324-2574

TELEPHONE NUMBER: [redacted]

FROM: [redacted]

TELEPHONE NUMBER: [redacted]

PAGES (WITH COVER): 2

COMMENTS: [redacted]

b6
b7C

161A-HQ-1256328-17

PLEASE DELIVER AS SOON AS POSSIBLE

The document(s) accompanying this facsimile transmittal sheet is intended only for the use of the individual or entity to whom it is addressed. This message contains information which may be privileged, confidential or exempt from disclosure under applicable law. If the reader of this message is not the intended recipient, or the employee or agent responsible for delivering the message to the intended recipient, you are hereby notified that any disclosure, dissemination, copying or distribution, or the taking of any action in reliance on the contents of this communication is strictly prohibited. If you have received this information in error, please immediately notify the sender at their telephone number stated above.

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161A

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DATE 02-16-2011 BY 60324UCBAW/SB/CMW

THE WHITE HOUSE
WASHINGTON

August 24, 1998

MEMORANDUM TO [REDACTED]
CHIEF, SPECIAL INQUIRY AND GENERAL BACKGROUND
INVESTIGATION UNIT, FEDERAL BUREAU OF INVESTIGATION

FROM: [REDACTED] *le*
Office of Counsel to the President

RE: Limited Update Inquiry on Richard Charles Albert Holbrooke ^①

Reference is made to your letter of July 30, 1998 as well as the attached summary. This is to request that a limited update inquiry be conducted into the current status of the pending matter discussed therein, including, if possible, an estimate of how much additional time will be needed if it is still pending. We appreciate your attention to this matter.

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b7c

CASSIN to
Butler 8/24/98
PLD 9/1/98 *B*



U.S. Department of Justice

Federal Bureau of Investigation

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DATE 02-16-2011 BY 60324UCBAW/SB/CMW

Office of the General Counsel

Washington, D.C. 20535

July 28, 1998

b6
b7c

MEMORANDUM FOR THE DEPUTY ATTORNEY GENERAL

FROM: General Counsel, FBI [REDACTED]

SUBJECT: FORWARDING MATTER OF LIMITED INQUIRY OF PROSPECTIVE
PRESIDENTIAL APPOINTEE (RICHARD CHARLES ALBERT
HOLBROOKE) WHICH HAS REVEALED AN ONGOING CRIMINAL
INVESTIGATION

PURPOSE: To obtain the Deputy Attorney General's determination of what information should be communicated to the White House Counsel's Office in response to a limited inquiry of the above-captioned prospective presidential appointee which has revealed an ongoing criminal investigation.

TIMETABLE: Immediate (Congress will be adjourning on July 31, 1998).

DISCUSSION:

By summary memorandum dated July 17, 1998, the FBI concluded its original background investigation of Mr. Holbrooke and disseminated that information to the White House based on a thorough background investigation, including negative checks of Bureau records and the Office of Inspector General (OIG), Department of State (DOS). On July 16, 1998, however, the OIG, DOS opened a criminal investigation on Mr. Holbrooke. This information did not appear during the FBI's original background investigation of Mr. Holbrooke because the FBI's Special Inquiry and General Background Investigations Unit's (SIGBIU) check with the OIG, DOS was made on July 9, 1998.

Mr. Holbrooke is aware of the OIG, DOS investigation. The OIG, DOS has discussed this matter with [REDACTED] and [REDACTED] attorneys, Public Integrity Section, Department of Justice (DOJ) (telephone number [REDACTED]). The investigating agent for OIG, DOS has advised that he does not yet know when this investigation will be concluded or whether it will be referred for criminal prosecution. The Campaign Contributions

Sensitive information--pending investigation

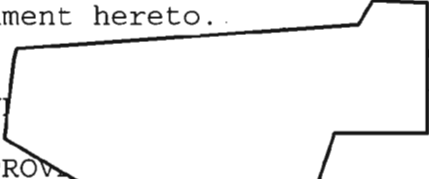
Memorandum for the Deputy Attorney General
Re: Forwarding Matter of Limited Inquiry of Prospective
Presidential Appointee (Richard Charles Albert
Holbrooke) Which Has Revealed an Ongoing Criminal
Investigation

(CampCon) investigation is also aware of this investigation,
because Ambassador Lawrence (the owner of the residence at issue
in item number one of the enclosure), was the subject of CampCon
interest.

b6
b7C

Pursuant to a limited inquiry request from the White
House Counsel's Office, we have prepared a proposed response
apprising them of this matter. A copy of our proposed response
is attached. This proposed response has been reviewed by both
the Counsel to the Inspector General, DOS, and the FBI Campaign
Contributions (CampCon) investigation, who have no objections to
this dissemination. Per the recommendation in the FBI General
Counsel's memo of June 14, 1996, to Director Freeh (approved by
him and Deputy Attorney General Gorelick same date), I am now
forwarding this matter "in order (for you) to determine what if
any information should be communicated to the White House
Counsel."

RECOMMENDATION: That you approve dissemination by the FBI to the
White House Counsel's Office of the information contained in the
attachment hereto.

APPROV  7-28-98

DISAPPROV _____

OTHER _____

Enclosure

July 28, 1998

MEMORANDUM FOR THE DEPUTY ATTORNEY GENERAL

FROM: General Counsel, FBI

SUBJECT: FORWARDING MATTER OF LIMITED INQUIRY OF PROSPECTIVE
PRESIDENTIAL APPOINTEE (RICHARD CHARLES ALBERT
HOLBROOKE) WHICH HAS REVEALED AN ONGOING CRIMINAL
INVESTIGATION

PURPOSE: To obtain the Deputy Attorney General's determination
of what information should be communicated to the White House
Counsel's Office in response to a limited inquiry of the above-
captioned prospective presidential appointee which has revealed
an ongoing criminal investigation.

TIMETABLE: Immediate (the Senate will be adjourning on July 31,
1998).

DISCUSSION:

By summary memorandum dated July 17, 1998, the FBI
concluded its original background investigation of Mr. Holbrooke
and disseminated that information to the White House based on a
thorough background investigation, including negative checks of
Bureau records and the Office of Inspector General (OIG),
Department of State (DOS). On July 16, 1998, however, the OIG,
DOS opened a criminal investigation on Mr. Holbrooke. This
information did not appear during the FBI's original background
investigation of Mr. Holbrooke because the FBI's Special Inquiry
and General Background Investigations Unit's (SIGBIU) check with
the OIG, DOS was made on July 9, 1998.

b6
b7C

Mr. Holbrooke is aware of the OIG, DOS investigation.
The OIG, DOS has discussed this matter with [redacted] and
[redacted] attorneys, Public Integrity Section, Department of
Justice (DOJ) (telephone number [redacted]). The
investigating agent for OIG, DOS has advised that he does not yet
know when this investigation will be concluded or whether it will
be referred for criminal prosecution. The Campaign Contributions

Dep. Dir. _____
ADD Adm. _____
ADD Inv. _____
Asst. Dir.: _____
Adm. Servs. _____
Crim. Inv. _____
Ident. _____
Insp. _____
Intell. _____
Lab. _____
Legal Coun. _____
Rec. Mgnt. _____
Tech. Servs. _____
Training _____
Cong. Affs. Off. _____
Off. of EEO _____
Off. Liaison &
Int. Affs. _____
Off. of Public Affs. _____
Telephone Rm. _____
Director's Sec'y _____

1 - The Director (7176)
1 - Mr. R. M. Bryant (7142)
1 - Mr. R. B. Bucknam (7176)
1 - [redacted] (7427)
1 - [redacted] (7427)
1 - Ms. C. B. Thornton (7159)
1 - Mr. P. W. Kelley (7159)
ALE:ale (14)

1 - [redacted] (6050)
1 - [redacted] (4371)
1 - [redacted] (4371)
1 - [redacted] (7338)
1 - ALU Library (7338)
1 - ALU Tickler (7338)

Rm 7338

Sensitive information--pending investigation

APPROVED _____
Director _____
Deputy Director _____
Gen. Coun. _____
Info. Res. _____
Inspection _____
Laboratory _____
National Sec. _____
OPR _____
Personnel _____
Training _____
Off. of EEO _____
Affairs _____
Off. of Public & _____
Cong. Affs. _____

WAM 066/AY

PWE

Memorandum for the Deputy Attorney General

Re: Forwarding Matter of Limited Inquiry of Prospective
Presidential Appointee (Richard Charles Albert
Holbrooke) Which Has Revealed an Ongoing Criminal
Investigation

(CampCon) investigation is also aware of this investigation,
because Ambassador Lawrence (the owner of the residence at issue
in item number one of the enclosure), was the subject of CampCon
interest.

Pursuant to a limited inquiry request from the White
House Counsel's Office, we have prepared a proposed response
apprising them of this matter. A copy of our proposed response
is attached. This proposed response has been reviewed by both
the Counsel to the Inspector General, DOS, and the FBI Campaign
Contributions (CampCon) investigation, who have no objections to
this dissemination. Per the recommendation in the FBI General
Counsel's memo of June 14, 1996, to Director Freeh (approved by
him and Deputy Attorney General Gorelick same date), I am now
forwarding this matter "in order (for you) to determine what if
any information should be communicated to the White House
Counsel."

RECOMMENDATION: That you approve dissemination by the FBI to the
White House Counsel's Office of the information contained in the
attachment hereto.

APPROVE _____

DISAPPROVE _____

OTHER _____

Enclosure

(12/31/1993)

ALL INFORMATION CONTAINED
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DATE 02-16-2011 BY 60324UCBAW/SE/CMW

FEDERAL BUREAU OF INVESTIGATION

Precedence: DEADLINE 08/28/1998

Date: 08/25/1998

To: Washington Field

Attn: Squad A-1

From: Administrative Services

SIGBIU/Room 4371

Contact: PSS [REDACTED]

Approved By: [REDACTED] *W B/TS*

Drafted By: [REDACTED]

mws

Case ID #: 161A-HQ-1256328 (Pending)

Title: RICHARD CHARLES ALBERT HOLBROOKE
LEVEL I - PAS

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Synopsis: Initiation of limited inquiry on captioned subject.

Reference: 161A-HQ-1256328 Serial 12

Administrative: Buded is 8/28/98. Direct results/questions to PSS [REDACTED] *supra*. If Buded will not be met, telephonically advise PSS [REDACTED] and set forth reason(s) in Administrative Section of investigative report. SIGBIU facsimile numbers are (202) 324-2574, 1865, 4504, and 1373.

Details: The White House has requested an update on the investigation of Mr. Holbrooke being conducted at the Department of State (DOS).

WFO is requested to contact a high-level management official at the DOS Office of Inspector General (IG), either the Inspector General or the Deputy Inspector General, to determine the following:

1. What is the status of their investigation? If it is still pending, determine the following:

a. an estimate of how long it will take to complete and resolve the matter, to include any administrative action or prosecutive opinion.

b. if the official indicates that the investigation will not be completed by 9/10, have them state so.

c. ascertain if they anticipate resolution by the time Congress recesses in early October.

2. No facts concerning the investigation are needed unless it is closed, and then the following should be obtained:

161A-HQ-1256328-18

8.25.98
SPECIAL INQUIRY
[REDACTED]
BY

To: Washington Field From: Administrative Services
Re: 161A-HQ-1256328, 08/25/1998

- a. Date matter resolved.
- b. The specific allegation(s).
- c. What did the investigation disclose.
- d. What was Mr. Holbrooke's response to the allegation(s)?
- e. What is the basis for closing the investigation.
- f. Was any evidence of wrongdoing on Mr. Holbrooke's part obtained during the investigation?

To: Washington Field From: Administrative Services
Re: 161A-HQ-1256328, 08/25/1998

LEAD (s):

Set Lead 1:

WASHINGTON FIELD

AT WASHINGTON, DC

Conduct the limited inquiry on candidate as set forth
in the details section of this EC.

♦♦

UNITED STATES DEPARTMENT OF JUSTICE
Federal Bureau of Investigation

b6
b7C

Copy to:

Report of:
Date:

PSS [REDACTED]
August 26, 1998

Office: WFO

Case ID #:

161A-HQ-1256328 -19

Title:

RICHARD CHARLES ALBERT HOLBROOKE

Character:

LEVEL I - PAS

Synopsis:

[REDACTED]
interviewed.

b6
b7C

-RUC-

- 1 -

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 8/25/98

[redacted] for
Investigations, Office of Inspector General, United States
Department of State, was re-contacted concerning the status of
the criminal investigation being conducted by his office
regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE.
[redacted] furnished the following information:

To date, this investigation at the Office of Inspector
General is still pending and they are looking at possible 207 and
208 violations in addition to a Failure to List Gift violation.

[redacted] stated that the investigation is near completion
regarding the field leads. At this time, his office is awaiting
two sets of records which have been subpoenaed. When these
records are received, they will need to be reviewed. Then, there
will be an interview of the appointee concerning the findings.

[redacted] stated that with the cooperation of the Department of
Justice, Public Integrity Section, he would anticipate a possible
completion date by Labor Day.

[redacted] advised that as the [redacted]
[redacted] for Investigations, he has authority over this matter and
that questions should be directed to him.

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Investigation on 8/25/98 at Falls Church, Virginia (telephonically)

File # 161A-HQ-1256328 Date dictated 8/25/98

by SA [redacted]

80132

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE WFO	OFFICE OF ORIGIN BUREAU	DATE 8/26/98	INVESTIGATIVE PERIOD 8/25/98
TITLE OF CASE RICHARD CHARLES ALBERT HOLBROOKE		REPORT MADE BY PSS [REDACTED]	TYPED BY: SDT
		CHARACTER OF CASE LEVEL I - PAS	

b6
b7CREFERENCE: BUREAU EC to WFO dated 8/25/98.

(RUC)

ADMINISTRATIVE: BUDED: 8/28/98

All individuals were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality, both limited and unlimited, have been granted where noted.

APPROVED <i>JCC/m</i>	SPECIAL AGENT IN CHARGE <i>28</i>	DO NOT WRITE IN SPACES BELOW			
COPIES MADE: 2-BUREAU (161A-HQ-1256328) PSS [REDACTED] 1-WFO [REDACTED]					
CC-DELETED <i>[Signature]</i>					
DISSEMINATION RECORD OF ATTACHED REPORT		Notations			
Agency		<i>[Signature]</i>			
Request Recd.					
Date Fwd.					
How Fwd.					
By					

8/26/98

A*
COVER PAGE

(12/31/1995)

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED
DATE 02-16-2011 BY 60324UCBAW/SE/CMW

FEDERAL BUREAU OF INVESTIGATION

Precedence: DEADLINE 09/08/1998

Date: 09/08/1998

To: Washington Field

Attn: Squad A-1

From: Administrative Services

SIGBIU/Room 4371

Contact: PSS [REDACTED]

Approved By: [REDACTED] *B/MS*

Drafted By: [REDACTED]

:mws

b6
b7C

Case ID #: 161A-HQ-1256328 (Pending)

Title: RICHARD CHARLES ALBERT HOLBROOKE
LEVEL I - PAS

Synopsis: Initiation of limited inquiry on captioned subject.

Reference: 161A-HQ-1256328 Serial 18

Administrative: Buded is 9/8/98. Direct results/questions to PSS [REDACTED] supra. If Buded will not be met, telephonically advise PSS [REDACTED] and set forth reason(s) in Administrative Section of investigative report. SIGBIU facsimile numbers are (202) 324-2574, 1865, 4504, and 1373.

Details: The White House has requested an update on the investigation of Mr. Holbrooke being conducted at the Department of State (DOS).

WFO is requested to recontact the DOS Office of Inspector General (IG) to reiterate the questions set forth in the EC to your office dated 8/25/98. (Serial 18)

LEAD (s):

Set Lead 1:

WASHINGTON FIELD

AT WASHINGTON, DC

Conduct the limited inquiry on candidate at DOS.

♦♦

161A-HQ-1256328-21

MAIL
9/8/98
DIRECT from SPECIAL INQUIRY
UNIT, CID
BY *rw*

- 1 -

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 9/8/98

[redacted] for
Investigations, Office of Inspector General, United States
Department of State, was re-contacted concerning the status of
the criminal investigation being conducted by his office
regarding the appointee, RICHARD CHARLES ALBERT HOLBROOK.
[redacted] furnished the following information:

[redacted] stated that the appointee was sent a "Target
Letter" on September 1, 1998. He advised that at this point, the
Department of Justice, Public Integrity Section is currently
involved in the matter and they are talking with the appointee's
attorneys. [redacted] stated that he has no idea when this will be
resolved or what will happen with the case. He did stated that
he believes that the Senate is not aware at this point and that
the media is not aware. [redacted] advised that [redacted]
Trial Attorney, DOJ, Public Integrity Section is handling this
matter. He could provide no further additional information.

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Investigation on 9/8/98 at Falls Church, Virginia (telephonically)
File # 161A-HQ-1256328 Date dictated 9/8/98
by SA [redacted]

312



80783

U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535

SEP 9 1998

BY COURIER

Honorable Charles F. C. Ruff
Counsel to the President
The White House
Washington, D.C.

b6
b7C

Dear Mr. Ruff:

Reference is made to my letter dated July 30, 1998, which furnished the results of a limited inquiry concerning Mr. Richard Charles Albert Holbrooke. Reference is also made to a memorandum dated August 24, 1998, from Associate Counsel [redacted] of your office, which requested an additional limited inquiry be conducted concerning Mr. Holbrooke in order to determine the status of an Office of the Inspector General (OIG), Department of State (DOS) investigation in which he is the subject.

Pursuant to a telephone conversation between [redacted] and myself on September 8, 1998, [redacted] was advised that contact was made by the FBI on September 8, 1998, with a representative of the OIG, DOS. That representative, who is very knowledgeable of the investigation, advised that the OIG investigation of Mr. Holbrooke was still pending and he was unable to state when and how it will be resolved. A follow-up contact with the OIG representative on September 9, 1998, determined there was no change in the status of the OIG investigation. [redacted] was advised by me of this follow-up contact via voice mail message.

161A-HQ-1256328-22

Dep. Dir. _____
Chief of _____
Staff _____
Off. of Gen. _____
Counsel _____
Asst. Dir. _____
Adm. Serv. _____
CIS _____
Finance _____
Info. Res. _____
Insp. _____
Lab. _____
National Sec. _____
Personnel _____
Training _____
Off. of EEOA _____
Off. of Public _____
S. Cong. Affs. _____
Director's Office _____

MWS: [signature]

See note page two.

MAIL ROOM a

FBI/DOJ

Charles F. C. Ruff

This completes our limited inquiry. Should you have any questions regarding this matter, please contact Supervisory Personnel Security Specialist [redacted] or myself, telephone number [redacted]

Sincerely yours,

[redacted]
Chief
Special Inquiry and General
Background Investigations Unit

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CLOSED

NOTE: On August 26, 1998, [redacted] Investigations [redacted] OIG, DOS, advised that the OIG investigation of Mr. Holbrooke was still pending. [redacted] stated that the OIG anticipated a possible completion date by Labor Day (September 7) with the cooperation of the Public Integrity Section (PIS), Department of Justice (DOJ). On September 8, 1998, [redacted] advised that Mr. Holbrooke was sent a "Target Letter" on September 1, 1998. [redacted] stated that currently PIS, DOJ is handling this matter, and that he has no idea when this will be resolved or what will happen with the case. On September 9, 1998, SSA [redacted], WFO, advised that contact with [redacted] determined there was no change in the status of the OIG investigation from September 8. Inasmuch as there has been no change in the OIG investigation status, and only the status of the OIG investigation is being disseminated to the White House, coordination of the dissemination of the information in this letter with the Office of General Counsel, FBI, and the Office of the Deputy Attorney General, DOJ, was unnecessary.

THE WHITE HOUSE
WASHINGTON

February 10, 1999

343
PSS: [redacted]
RECEIVED: 2-10-99
ASSIGNED: 2-10
OPENED: [redacted]
BUDED: 2-12
PCD: 2-16

MEMORANDUM TO [redacted]

CHIEF, SPECIAL INQUIRY AND GENERAL BACKGROUND
INVESTIGATIONS UNIT
FEDERAL BUREAU OF INVESTIGATION

b6
b7c

FROM: [redacted] W

Associate Counsel to the President

RE: Limited Update Inquiry Concerning Richard Charles Albert Holbrooke ①

Reference is made to your September 9, 1998 summary memorandum notifying this office that a criminal investigation of Richard Charles Albert Holbrooke was still pending at the Department of State. A press release issued yesterday by the Department of Justice reported that investigations conducted by the Departments of State and Justice into allegations that Mr. Holbrooke violated conflict of interest laws have been resolved. The press release further reported that Mr. Holbrooke has agreed to pay a civil penalty of \$5,000 to resolve the matter.

This is to request that you provide us with a limited update to confirm the status of the investigations conducted by the Departments of State and Justice, their conclusions and the penalties imposed on Mr. Holbrooke. As we discussed, I am also forwarding with this request the following signed documents: 1) an authorization for release of information and 2) the consent for FBI investigation; both were completed by Mr. Holbrooke today. Please do not hesitate to call me at [redacted] if you would like to discuss this request. We appreciate your attention to this matter.

161A-HQ-1256328-23

Attachments

161A-HQ-1256328

161A

THE WHITE HOUSE
WASHINGTON

ALL FBI INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED
DATE 02-16-2011 BY 60324UCBAW/SB/CMW
Date _____

To: Federal Bureau of Investigation
Attn: ☐ EADSU (Room 4965)

☒ SIGBIU (Room 4371)

From: The White House
☐ EOP Security Office
☒ White House Counsel's Office

Subject's full name Richard C.A. Holbrooke

Other names used (including birth, prior married, and nicknames) _____

Social Security Number 132-32-3096 Date of birth 04/24/41 Place of birth New York

Permanent address
(also current residence, if different) 211 Central Park West, NY, NY 10024

Current employer(s) Credit Suisse First Boston

SUBJECT'S CONSENT: I hereby authorize the FBI to provide the information specified below to the White House.

[Signature]

(Subject's Signature)

02/10/99

(Date)

Request of FBI (Use of this form to request information developed by the FBI or contained in FBI files requires the subject's consent. Exceptions will only be permitted as authorized by the Attorney General/Deputy Attorney General)

- ☐ Name check (EADSU) ☐ Copy of previous report (EADSU)
☐ Expanded name check (SIGBIU)
☐ Full field investigation (SIGBIU) ☐ Level 1 ☐ Level 2 ☐ Level 3
☐ 5-year reinvestigation (SIGBIU) ☐ Level 2 ☐ Level 3
☒ Limited update investigation (SIGBIU)
☐ Other (specify) _____

The applicant is being considered for:

- ☐ Presidential appointment ☒ Position requiring Senate confirmation
☐ White House staff position
☐ Access: ☐ Detailee/other government employee ☐ Contractor ☐ Intern ☐ Volunteer
☐ Presidential recognition
☐ Other (specify) _____

Attachments: ☐ SF-86 ☐ SF-86 Supplement ☐ SF-87 Fingerprint Card

Remarks/
special instructions: _____

I certify, subject to 18 U.S.C. § 1001, that the above is sought for official purposes only and I understand that obtaining this information under false pretenses or any unauthorized disclosure may be a violation of the Privacy Act, 5 U.S.C. § 552a.

Requested by: _____
(Signature)

This request has been reviewed and approved by the White House Counsel's Office.

b6
b7C

Approved by: _____

Signature (White House Counsel's Office)

- 1 - Original - To FBI
2 - Canary - To FBI (Return to White House)
3 - Pink - To FBI (Office of the General Counsel)
4 - Gold - White House Origination Copy

Standard Form 86
Revised September 1995
U.S. Office of Personnel Management
5 CFR Parts 731, 732, and 736

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DATE 07-26-2011 BY 60324UCBAW/SE/CMW

Form approved:
O.M.B. No. 3208-0007
NSN 7540-00-634-4038
88-111

UNITED STATES OF AMERICA

AUTHORIZATION FOR RELEASE OF INFORMATION

Carefully read this authorization to release information about you, then sign and date it in ink.

I **Authorize** any investigator, special agent, or other duly accredited representative of the authorized Federal agency conducting my background investigation, to obtain any information relating to my activities from individuals, schools, residential management agents, employers, criminal justice agencies, credit bureaus, consumer reporting agencies, collection agencies, retail business establishments, or other sources of information. This information may include, but is not limited to, my academic, residential, achievement, performance, attendance, disciplinary, employment history, criminal history record information, and financial and credit information. I authorize the Federal agency conducting my investigation to disclose the record of my background investigation to the requesting agency for the purpose of making a determination of suitability or eligibility for a security clearance.

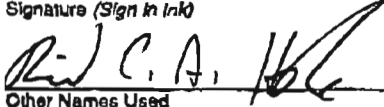
I **Understand** that, for financial or lending institutions, medical institutions, hospitals, health care professionals, and other sources of information, a separate specific release will be needed, and I may be contacted for such a release at a later date. Where a separate release is requested for information relating to mental health treatment or counseling, the release will contain a list of the specific questions, relevant to the job description, which the doctor or therapist will be asked.

I **Further Authorize** any investigator, special agent, or other duly accredited representative of the U.S. Office of Personnel Management, the Federal Bureau of Investigation, the Department of Defense, the Defense Investigative Service, and any other authorized Federal agency, to request criminal record information about me from criminal justice agencies for the purpose of determining my eligibility for access to classified information and/or for assignment to, or retention in, a sensitive National Security position, in accordance with 5 U.S.C. 9101. I understand that I may request a copy of such records as may be available to me under the law.

I **Authorize** custodians of records and other sources of information pertaining to me to release such information upon request of the investigator, special agent, or other duly accredited representative of any Federal agency authorized above regardless of any previous agreement to the contrary.

I **Understand** that the information released by records custodians and sources of information is for official use by the Federal Government only for the purposes provided in this Standard Form 86, and that it may be redisclosed by the Government only as authorized by law.

Copies of this authorization that show my signature are as valid as the original release signed by me. This authorization is valid for five (5) years from the date signed or upon the termination of my affiliation with the Federal Government, whichever is sooner. Read, sign and date the release on the next page if you answered "Yes" to question 21.

Signature (Sign in Ink) 		Full Name (Type or Print Legibly) Richard C.A. Holbrooke		Date Signed 02/10/99	
Other Names Used				Social Security Number 132-32-3096	
Current Address (Street, City) 211 Central Park West			State NY	ZIP Code 10024	Home Telephone Number (Include Area Code) (212) 496-1106

MODE = MEMORY TRANSMISSION

START=FEB-11 08:23

END=FEB-11 08:28

FILE NO. = 092

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-SIGBIU

***** - ***** - 202 324 2574- *****

FD-448 (Rev. 6-2-97)

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DATE 05-19-2011 BY 60324UCBAW/SB/CMW



FBI FACSIMILE

COVER SHEET

PRECEDENCE

- ☒ Immediate
☐ Priority
☐ Routine

CLASSIFICATION

- ☐ Top Secret
☐ Secret
☐ Confidential
☐ Sensitive
☒ Unclassified

Time Transmitted: _____

Sender's Initials: MAH

Number of Pages: 6
(including cover sheet)

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b7C

To: FBI WFO

Name of Office

Date: 2/11/1999

Facsimile Number: 703 762-3094

Attn: SA
Name

Telephone

Presidential
Expedite

From: SIGBIU ROOM 4371 FBIHQ

Name of Office

Subject: RICHARD CHARLES ALBERT HOLBROOKE

161A-HQ-1256328

BUDED 2/12/99

Special Handling Instructions: PLEASE HAND CARRY

Originator's Name: PSS

Telephone: _____

Originator's Facsimile Number: 202 324-2574

Approved: JAB:MAH

Brief Description of Communication Faxed: PLEASE CONDUCT ATTACHED INVESTIGATION ON HOLBROOKE PRESIDENTIAL PER TELCALLS 2/10/99, WITH SIGBIU UNIT CHIEF

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(12/31/1995)

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DATE 05-19-2011 BY 60324UCBAW/SB/CMW

FEDERAL BUREAU OF INVESTIGATION

b6
b7c

Precedence: DEADLINE 02/12/1999

Date: 02/11/1999

To: Washington Field

Att: Squad A-1

From: Administrative Services

Special Inquiry and General Background Investigation
Unit (SIGBIU) Room 4371

Contact: PSS [REDACTED]

Approved By: [REDACTED] *AB/ma*

Drafted By: [REDACTED] :mah

Case ID #: 161A-HQ-1256328 (Pending)

Title: RICHARD CHARLES ALBERT HOLBROOKE
LEVEL I-PAS

Synopsis: Limited Update Inquiry concerning captioned candidate.

Administrative: BUDED is 02/12/1999. Reference Butel calls of
SIGBIU Unit Chief [REDACTED] and SAs [REDACTED] and
[REDACTED] WFO on 1/10/99.

Enclosures: Being forwarded with a hard copy of this EC, via
Bureau mail, is one copy each of candidate's Authorization for
Release of Information dated 02/10/1999; and a USA Today and a
Washington Post newspaper article each dated 2/10/99.

Details: The White House has requested an update on the
investigation conducted by the Department of Justice (DOJ) and
the Department of State (DOS) concerning Mr. Holbrooke. A press
release issued 2/9/1999, by DOJ reported that the DOS and DOJ
investigations into allegations that Mr. Holbrooke violated
conflict of interest laws have been resolved. The press release
also reported that Mr. Holbrooke has agreed to pay a civil
penalty of \$5,000 to resolve the matter.

LEAD (s):

Set Lead 1:

WASHINGTON FIELD

AT WASHINGTON, DC

Contact either the Inspector General or Assistant
Inspector General, DOS, and/or appropriate official of the Public
Integrity Section (PIS), DOJ, to determine the following:

ENCLOSURE ATTACHED

161A-HQ-1256328-24

2/11/99
DIRECT from SPECIAL INQUIRY
UNIT, CID
Jag

To: From: Administrative Services
Re: 161A-HQ-1256328 02/11/1999

- a) Confirm status of the investigation.
 - b) Date matter resolved.
 - c) Specific allegation(s).
 - d) What the investigation disclosed concerning each allegation.
 - e) Mr. Holbrook's response to the allegations.
 - f) Conclusions reached, basis for each conclusion and basis for closing the investigation.
 - g) Was any evidence of wrongdoing on Mr. Holbrooke's part obtained during the investigation.
 - h) Any penalties imposed on Mr. Holbrooke.
- Obtain copies of the complaint and settlement agreement.

CC: 1 - PSS



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b7c

♦♦

him once more to the forefront of Arab diplomacy.

Assad's uncharacteristic decision to travel to King Hussein's funeral has prompted speculation that he hopes to divert the foreign policy of the newly named king away from peace with Israel.

Tuesday, Syria's government-controlled Tishrin newspaper hinted at such pressure, denouncing "Israel's repeated bids to fish in troubled waters in order to destroy Arab ties on

comes as he faces certain re-election today for a fifth consecutive seven-year term.

The rubber-stamp election was delayed from Monday because of the funeral.

The last meeting between Assad and Clinton was in 1994, and the two leaders agreed to re-establish permanent channels of communication.



Assad: Attended funeral

treaty with Israel in 1994. Recently, the Jordanians have accused Syria of illegally detaining Jordanian officials.

Last year, Syrian Defense Minister Mustafa Tlas condemned King Hussein, accusing him of plotting against Arab and Islamic nations.

Only last week, Assad's son Bashar leveled thinly veiled criticism at King

delegation at the funeral but avoided all eye contact.

There was at least one other diplomatic contact of note at the funeral ceremonies.

Israeli President Ezer Weizman and Naf Hawatmeh, leader of the Democratic Front for the Liberation of Palestine terrorist group based in the Syrian capital of Damascus, both have been criticized for an impromptu encounter at the Royal Palace where they shook hands for the first

ordered the terrorist attack on the Israeli town of Maalot in which schoolchildren were killed. But Lea Rabin, widow of assassinated Prime Minister Yitzhak Rabin, supported Weizman.

"I think he did the right thing," Rabin told Israel Army Radio. "There are exactly the meetings that should be exploited for such an encounter and handshake."

Back in Damascus, Hawatmeh, DFLP, and other rejectionist group

THE WORLD

U.N. ambassador nominee settles ethics violation claims

The Justice Department said veteran diplomat Richard Holbrooke settled ethics allegations against him on Tuesday. That cleared the way for his nomination as U.S. ambassador at the United Nations to be sent to the Senate.

The department said Holbrooke agreed to pay a \$5,000 civil penalty to settle allegations that he violated federal ethics law by contacting the U.S. ambassador to South Korea in 1996 after he left the State Department to join an investment banking company.

In a civil settlement filed in federal court, Holbrooke, 57, did not admit any wrongdoing. Former government officials are barred from contacting former colleagues for possible deals for at least one year after leaving the government.

Holbrooke denied ever communicating with any State Department employees, including embassy personnel in South Korea, on behalf of his New York-based company, CS First Boston, in violation of the law.

President Clinton nominated Holbrooke, a former ambassador to Germany, former assistant secretary of State and chief negotiator of the Bosnian peace accord, to the U.N. post in June 1998.

But the nomination has been held up by the investigation by the Justice Department and the State Department's inspector general into alleged conflict-of-interest violations by Holbrooke.

BRAZILIAN INMATES SHOT: Six inmates were killed in a shootout during a failed jailbreak at a maximum security prison in southern Brazil. Military police surrounded the Prala Grande prison in Santos in the southern state of Sao Paulo, blocked all access roads and kept hundreds of relatives away from the prison. The prison, built to house 500 inmates, holds 680.

ETHIOPIA-ERITREA: An Ethiopian plane bombed an Eritrean village, killing at least five civilians as it escalated the border dispute in



Painful parting: Lino David Reyes, holding son David, 2, and his wife, Merari Reyes, say goodbye. Reyes plans to find work in the USA, save enough money to buy a home and return to his family in Honduras.

Hondurans eager to flee

Hundreds head for USA against enormous odds

Holbrooke Settles Complaint

Clinton to Submit U.N. Nomination to Senate

JOHN MINTZ
Washington Post Staff Writer

Richard C. Holbrooke, a veteran diplomat who engineered the Bosnia peace accord, reached an agreement with the Justice Department yesterday under which he will pay \$5,000 to settle ethics allegations that have delayed his nomination to be U.S. ambassador to the United Nations.

Moments after the settlement was announced, President Clinton said he will submit the nomination soon for Senate confirmation. "At a time when international crises from Iraq to Kosovo demand the leadership of the United States, it is essential that we have a strong and capable diplomat" such as Holbrooke as U.N. ambassador, Clinton said in a statement. "I look forward to the Senate's timely consideration of his nomination."

But a Senate staff member said the Foreign Relations Committee is preparing to reexamine all evidence in the conflict-of-interest allegations against Holbrooke.

Closing the investigative file does not ensure Holbrooke's quick confirmation, said Mark Thiessen, spokesman for Foreign Relations Committee Chairman Jesse Helms (R-N.C.). Helms will want the committee staff to retrace the inquiry to determine what the issue was and how it was resolved, Thiessen said. Congressional sources said that while Holbrooke is widely admired as a diplomat, he also has ruffled some Senate feelings—probably not enough to block the nomination, but enough to delay it and make his confirmation hearings contentious.

Among the issues are Holbrooke's support for a waiver that allowed a former ambassador to Switzerland to be buried in Arlington National Cemetery, based on a claim of service in the World War II merchant marine

that turned out to be spurious; Holbrooke's relationship with President Slobodan Milosevic of Yugoslavia, which some senators believe is too cozy; and doubts about Holbrooke's commitment to reforms at the United Nations, a key Helms objective.

The allegations considered at the Justice Department centered on Holbrooke's activities in mid-1996. He had resigned in February of that year as assistant secretary of state for European affairs and became a vice chairman at CS First Boston, an investment banking firm, and a "special government employee" advising State Department officials.

The dual role generated confusion about which hat he was wearing in some of his contacts with former colleagues. Federal law bars for one year the contacts former government officials may have with former colleagues on behalf of their new employers.

The Justice Department said in a formal complaint against Holbrooke that was filed in federal court here yesterday—and which was simultaneously settled with the agreement—that Holbrooke violated the ethics law in arranging a 1996 trip to South Korea.

Specifically, the complaint said, Holbrooke was "seeking official action by the Department of State" on CS First Boston's behalf by asking the help of James Laney, U.S. ambassador to South Korea, to set up meetings with Korean officials; by arranging for Laney to set up a luncheon for him with Korean officials; and by inviting Laney to the opening of the firm's office in Seoul.

But the Justice lawyers agreed to toned-down language in a settlement agreement between them and Holbrooke that also was filed in court. The two sides said that Holbrooke's request for the meetings, and his invitation to Laney to attend the firm's ribbon-cutting, were made "at least in part on



Veteran diplomat Richard C. Holbrooke will pay \$5,000 to settle ethics allegations.

behalf of CS First Boston. Holbrooke asserted that during the South Korea trip he was acting as a special employee of the State Department, "and therefore it was appropriate to communicate with . . . embassy personnel," the settlement said. It added that the Justice Department recognizes it "may have been in the United States' national interest" to have Holbrooke meet the Koreans.

"All of my contacts with the U.S. government since I left my position as assistant secretary were in my role as an unpaid official consultant to the Secretary of State and were entirely appropriate," Holbrooke said in a statement. "I settled this matter in order to allow my nomination to proceed."

Staff writer Thomas W. Lippman contributed to this report.

Pilot's Cond

By STEVE VOGEL
Washington Post Staff Writer

CAMP LEJEUNE, N.C. — The commander of a Marine helicopter that crashed over an Italian ski gondola on a critical today of the fatal flight over Dolomites.

The command Muegge, testified carry a personal v and to execute a low-altitude flight. His statement of court-martial here ate superior, was ment of the defe-

31, of Mission Vie Ashby, whose cable and sent the ground, could be convicted on the manslaughter an against him. The Joseph Schweitz similar charges ne

"I sent them ou regan proficiency see," said Muegge. Ashby's EA-6B Pr Muegge said learned about the 3, 1998, accident had not flown a k more than six m real smart thing t low-level in a w videotaping may l During openin

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INSIDE

A National News

B Metro

C Style

D Sports

E Business

World News

4 In Congress

2 Lotteries

22 Social Life

41 Andrew Beyer

1 Digest

17 World News

2 Crime & Justice

2 Book World

2 Track and Field

1 Trendlines

18 World in Brief

3 Metro in Brief

2 Miss Manners

3 Figure Skating

1 Stocks

21 The Federal Page

6-8 Obituaries

3 Reliable Source

6 NHL Notebook

6 Stock Tables

22-23 Editorials

8 Federal Diary

4 Style Plus

8 High Schools

24 Letters, Op-Ed

10 Weather

6-7 Television

9 Scoreboard

9 Escapes

Dow Close: 9133.03
Down: 158.08

- 1 -

FEDERAL BUREAU OF INVESTIGATION

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b7c

Date of transcription 2/16/99

On February 12, 1999 [redacted] Special Agent, United States Department of State, Office of the Inspector General, 1700 North Moore Street, Room 910, Arlington, Virginia, 22209, telephone number [redacted] and [redacted] Special Agent, United States Department of State, Office of the Inspector General, 1700 North Moore Street, Room 910, Arlington, Virginia, 22209, telephone number [redacted], were interviewed by Special Agent [redacted] regarding the appointee, RICHARD C. HOLBROOKE. After being advised as to the purpose of the interview and the official identity of the interviewing agent, [redacted] and [redacted] provided the following information:

[redacted] and [redacted] provided four documents as follows: a 32-page prosecutive referral with cover letter dated December 17, 1998; a 7-page information memorandum dated December 17, 1998; a 77-page report entitled "Holbrooke Interview"; and, 207-page report entitled "In the Matter of Ambassador Richard Holbrooke". These documents are being retained in a separate 1-A envelope.

Investigation on 2/12/99 at Arlington, Virginia

File # 161A-HQ-1256328 Date dictated 2/16/99

by SA [redacted]



FBI FACSIMILE COVERSHEET

CLASSIFICATION

PRECEDENCE

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☐ Priority
☐ Routine

- ☐ Top Secret
☐ Secret
☐ Confidential
☐ Sensitive
☒ Unclassified

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(Name of Office)

Date: 2/10/99

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Attn: SA
(Name)

From: SIGBIU, FBIHQ
(Name of Office)

Subject: Richard Holbrook
Buded COB 2/12/99

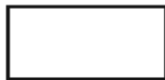
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immediately upon receipt. not

Originator's Name: _____

Telephone _____

Originator's Facsimile Number: 202-324-2574

Approved: _____



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telecommunication. Call me to ACK and let me know
have this. SPSS = _____ PSS = _____
EC to follow in A-11, 2/11/99. Buded is COB
Friday, 2/12/99. FAX to US. Thank. /B.

FB/DOJ

*****202 324 1373-*****

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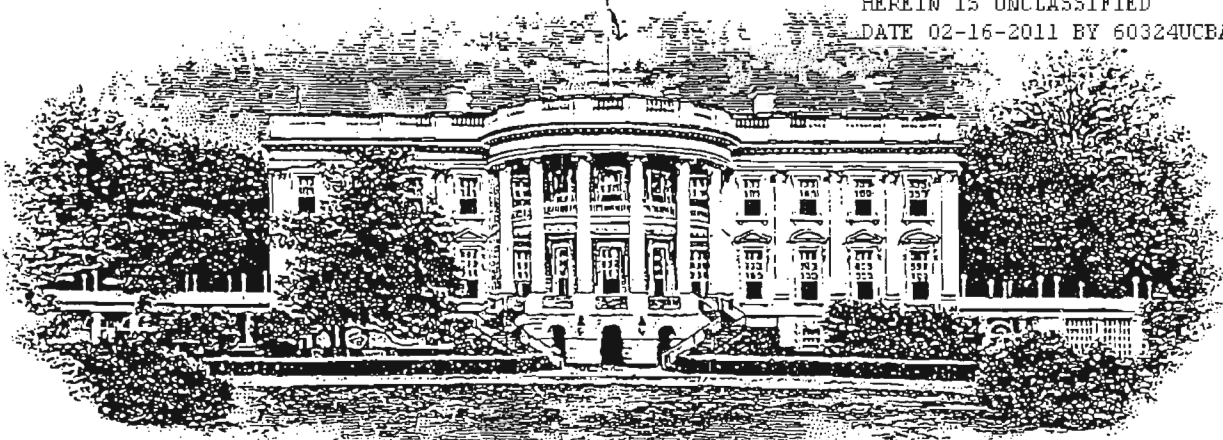
FILE NO. = 242

MODE = MEMORY TRANSMISSION START=FEB-10 15:30 END=FEB-10 15:32

*****-COMM. JOURNAL-***** DATE FEB-10-1999 ***** TIME 15:32 *** P.01

The White House

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Office of the Counsel to the President

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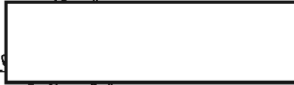
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Facsimile: (202) 456-2146

Date:

2-10-99

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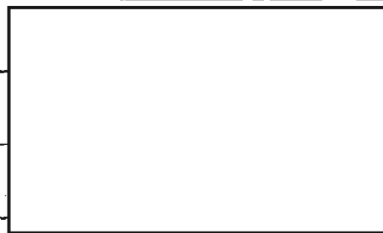


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CLASSIFICATION

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To: SIGBIU
Name of Office

Date: 2-14-99

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2574

Attn:

b6
b7C

From: NVRA A-1
Name of Office

Subject: HOL BROOKE

Special Handling Instructions: _____

Originator's Name: Telephone: _____

Originator's Facsimile Number: _____

Approved: _____

Brief Description of Communication Faxed: I WILL MISS ALL OF

YOU!!!

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FEDERAL BUREAU OF INVESTIGATION

Date of transcription 2/17/99

[redacted] Special Agent-In-Charge, Special Operations, Office of Inspector General, United States Department of State, 1700 N. Moore Street, Suite 910, Arlington, Virginia, [redacted] was contacted concerning the appointee, RICHARD CHARLES ALBERT HOLBROOKE. Having previously been advised of the identity of the interviewing Agent, [redacted] provided the following information:

[redacted] advised that to date, his office has not been contacted by the United States Senate or the White House but anticipates that the Senate or White House will request a copy of the Department of State's report concerning the investigation conducted on the appointee.

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[redacted] was advised that the FBI intends to turn over to the White House a copy of the appointee's interview provided by the Department of State along with the Complaint and Settlement Agreement which were both provided by the United States Department of Justice Public Integrity Section. [redacted] stated that he is in agreement with this decision.

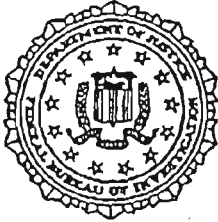
Investigation on 2/16/99 at Washington, D.C. (telephonically)
File # 161A-HQ-1256328 Date dictated 2/17/99
by SA [redacted]

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DATE 02-16-2011 BY 60324UCBAW/SB/CMW



FBI FACSIMILE

COVER SHEET

PRECEDENCE

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☐ Routine

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☐ Secret
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Time Transmitted: 5:40
Sender's Initials: LF
Number of Pages: 7
(including cover sheet)

To: SIGBILL
Name of Office

Date: 2/14/99

Facsimile Number: 2521

Attn: [Redacted]
Name

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b7C

From: A-1
Name of Office

Subject: Stalbrooke

Special Handling Instructions:

Originator's Name: [Redacted]

Telephone: [Redacted]

Originator's Facsimile Number: [Redacted]

Approved: [Redacted]

Brief Description of Communication Faxed: [Redacted]

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- 1 -

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 2/14/99

[redacted] Special Agent-In-Charge, Special Operations, Office of Inspector General, United States Department of State, 1700 N. Moore Street, Suite 910, Arlington, Virginia, 703/284-1913, was advised of the identity of the interviewing Agent and the nature of the interview, that being that the Federal Bureau of Investigation (FBI) is concluding their background investigation regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE, and is requesting information concerning the recent settlement agreement resulting from the Department of State's Investigation of the appointee. [redacted] provided the following information:

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The settlement agreement with the Department of Justice was signed on February 9, 1999. There was a supplemental report sent over to the Secretary of State concerning two other issues which were not resolved by the Department of Justice. One issue was concerning the appointee residing in Ambassador LARRY LAWRENCE's home in Georgetown and contemporaneously signing a memo requesting that LAWRENCE's body be buried in Arlington National Cemetery, when, in fact, LAWRENCE was not entitled to be buried there. The other issue concerned the appointee's failure to properly disclose on the financial disclosure forms the fact that he resided in Ambassador LAWRENCE's home.

Additionally, a report was forwarded to the Internal Revenue Service because investigation revealed that the appointee could have some tax liability issues. When the appointee was with Credit Suisse First Boston (CSFB), he held luncheons with Assistant Secretaries of State and other high level individuals such as SANDY BERGER, National Security Council. These luncheons were paid for by CSFB.

[redacted] stated that the Department of State's investigative report and the appointee's interviews were "hundreds of pages" in length; however, his office would be willing to provide the FBI with copies of them.

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b7C

Investigation on 2/14/99 at FALLS CHURCH, VIRGINIA (telephonically)
File # 161A-HQ-1256328 Date dictated 2/14/99
by SA LESLIE T. FAIRBAIRN

- 1 -

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 2/14/99

[redacted] Special Agent, Office of Inspector General (OIG), United States Department of State, 1700 N. Moore Street, Room 910, Arlington, Virginia, was re-contacted concerning the OIG criminal investigation of the appointee, RICHARD CHARLES ALBERT HOLBROOKE. Having previously been apprised of the identity of the interviewing Agent, [redacted] provided the following information:

[redacted] furnished the interviewing Agent with his "Executive Summary" outlining the results of the OIG investigation of the appointee. That summary is included with this FD-302.

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Investigation on 2/14/99 at Falls Church, Virginia (telephonically)
File # 161A-HQ-1256328 Date dictated 2/14/99
by SA [redacted]

- 1 -

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 2/14/99

[redacted] to Secretary MADELEINE ALBRIGHT, United States Department of State, Washington, D.C., contacted the writer to advise that she learned on instant date that the writer was informed that a supplemental report was forwarded to the Secretary concerning the appointee RICHARD CHARLES ALBERT HOLBROOKE.

[redacted] advised that the Department of State does not a matter opened concerning the appointee and considers this investigation closed.

*?
contradicts*b6
b7cInvestigation on 2/14/99 at Falls Church, Virginia (telephonically)File # 161A-HQ-1256328 Date dictated 2/14/99by SA [redacted]

- 1 -

FEDERAL BUREAU OF INVESTIGATION

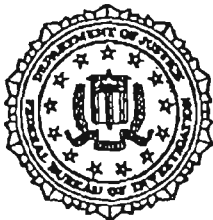
Date of transcription 2/14/99

[redacted] to Secretary MADELEINE ALBRIGHT, United States Department of State, Washington, D.C., contacted the writer to advise that she learned on instant date that the writer was informed that a supplemental report was forwarded to Secretary MADELEINE ALBRIGHT concerning potential allegations of wrongdoing on the part of the appointee RICHARD CHARLES ALBERT HOLBROOKE.

[redacted] advised that the supplemental report was received by the Secretary's Office and that Department of State will not be opening an investigation concerning the appointee and considers this matter closed.

b6
b7C

Investigation on 2/14/99 at Falls Church, Virginia (telephonically)File # 161A-HQ-1256328 Date dictated 2/14/99by SA [redacted]



FBI FACSIMILE COVER SHEET

PRECEDENCE

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CLASSIFICATION

- ☐ Top Secret
☐ Secret
☐ Confidential
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☒ Unclassified

Time Transmitted

Sender's Initials:

Number of Pages:

(including cover sheet)

10:20
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3

To:

SIGBIU

Name of Office

Date: 2-17-99

Facsimile Number:

1865

Attn:

[Redacted Box]

Telephone

From:

WFO

Name of Office

Subject:

NOBROOKE

161A

Special Handling Instructions:

Originator's Name:

[Redacted Box]

Telephone:

a 4322

Originator's Facsimile Number:

Approved:

[Signature]

Brief Description of Communication Faxed:

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IN THE UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF COLUMBIA
U.S. DISTRICT COURT
DISTRICT OF COLUMBIA

UNITED STATES OF AMERICA,
c/o U.S. Department of Justice
Public Integrity Section
P.O. Box 27518
McPherson Sq. Station
Washington, D.C. 20038

Plaintiff

v.

RICHARD C. HOLBROOKE,
c/o Paul C. Curnin, Esq.
Simpson Thacher & Bartlett
425 Lexington Avenue
New York, NY 10017-3954

Defendant

CASE NUMBER 1:99CV00309

JUDGE: Henry H. Kennedy

DECK TYPE: Civil General

DATE STAMP: 02/09/99

COMPLAINT

Plaintiff, the United States of America, by and through its undersigned attorneys, for its complaint alleges that:

1. This is an action for civil penalties pursuant to Section 216(b) of Title 18, United States Code, against RICHARD C. HOLBROOKE for violations of 18 U.S.C. § 207(c).

JURISDICTION AND VENUE

2. This Court has jurisdiction over this matter pursuant to 18 U.S.C. § 216 and 28 U.S.C. §§ 1331 and 1345.

3. Venue in the District of Columbia is appropriate under 28 U.S.C. §§ 1391 and 1395(a).

-2-

PARTIES

4. The plaintiff in this action is the United States of America. At all times pertinent to this civil action, the Department of State was a department of the Executive Branch of the United States of America, headquartered in Washington, D.C.

5. From 1994 to 1996, the defendant in this action, RICHARD C. HOLBROOKE, was employed in Washington, D.C., as Assistant Secretary of State for European and Canadian Affairs, which was a senior level position covered by 18 U.S.C. § 207(c).

6. On February 21, 1996, HOLBROOKE resigned as Assistant Secretary to become a Vice Chairman of the investment banking firm CS First Boston, Inc. HOLBROOKE's responsibilities at CS First Boston included using his contacts to promote CS First Boston and generate investment banking opportunities for the firm.

GENERAL ALLEGATIONS

7. Within one year of leaving his position as Assistant Secretary of State, in connection with his work on behalf of CS First Boston, HOLBROOKE traveled to Korea, where he delivered a speech to the Asia Society, attended the opening ceremony of CS First Boston's new branch office in Seoul, and had a series of meetings with Korean business leaders and government officials. HOLBROOKE's trip was paid for by CS First Boston, and he was accompanied while in Korea by two CS First Boston officials.

8. On March 21, 1996, in connection with CS First Boston's interests in Korea, HOLBROOKE sent a letter on CS First Boston

-3-

letterhead to the U.S. Ambassador in Korea, James T. Laney, requesting that he set up a "courtesy call" for him with Korean President Kim Young Sam. HOLBROOKE also suggested that Ambassador Laney might join in the meeting "if appropriate." Ambassador Laney agreed to make the arrangements and join HOLBROOKE. Ambassador Laney and his staff at the U.S. embassy subsequently contacted the Korean government and scheduled a meeting for HOLBROOKE and Ambassador Laney with President Kim for May 11, 1996.

9. In a letter dated March 22, 1996, Ambassador Laney offered to host a luncheon or dinner for HOLBROOKE "with appropriate guests." On March 22, 1996, on CS First Boston letterhead and in connection with CS First Boston's interests in Korea, HOLBROOKE accepted Ambassador Laney's offer "to host a meal with prominent Koreans." On April 26, 1996, Ambassador Laney sent a proposed list of invitees and asked HOLBROOKE for any additional suggestions. On April 30, 1996, on CS First Boston letterhead and in connection with CS First Boston's interests in Korea, HOLBROOKE wrote back saying that the proposed list looked "excellent" and suggested that the Korean Foreign Minister and Finance Minister also be invited.

10. On May 10, 1996, Ambassador Laney hosted a luncheon in honor of HOLBROOKE at the Ambassador's official residence. The U.S. embassy handled the arrangements. Four prominent Koreans attended the luncheon, including the Korean Minister of Trade, Industry and Energy, and the Chairman of the Korea Trade-

-4-

Investment Promotion Agency. Also present were three officials from CS First Boston, including HOLBROOKE, and four U.S. embassy officials, including Ambassador Laney. The U.S. government paid for the luncheon.

11. In seeking reimbursement for the luncheon, Ambassador Laney certified in a document dated June 16, 1996, that the purpose of the luncheon had been "Promotion of U.S. National Interests (70%)" and "Promotion of U.S. Economic Activities (30%)."

12. Prior to May 9, 1996, and in connection with CS First Boston's interests in Korea, HOLBROOKE asked Ambassador Laney to attend a ribbon cutting ceremony to celebrate the opening of CS First Boston's new branch office in Seoul, Korea, on May 9, 1996.

HOLBROOKE, Ambassador Laney and approximately 20 to 30 other people attended the event, which occurred during regular business hours.

COUNT ONE

13. Plaintiff realleges and incorporates by reference paragraphs 1 through 12 as though fully set forth herein.

14. On or between March 21, 1996, and May 9, 1996, RICHARD C. HOLBROOKE, within one year of his termination as an officer and employee of the Department of State employed at a rate of pay equal to or greater than the rate of basic pay payable for level 5 of the Senior Executive Service, knowingly communicated with the U.S. Ambassador to Korea, on behalf of CS First Boston,

-5-

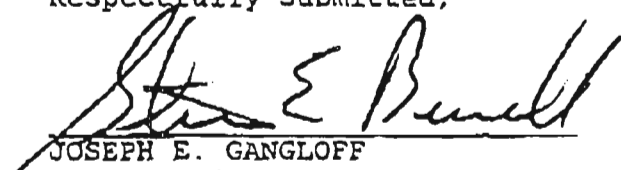
seeking official action by the Department of State:

- (a) in the arrangement of a meeting with Korean President Kim Young Sam;
 - (b) in the arrangement of a luncheon at the Ambassador's residence for HOLBROOKE and other CS First Boston employees to meet with Korean government officials and U.S. embassy officials, including the U.S. Ambassador; and
 - (c) by having the Ambassador attend and participate in a ribbon cutting ceremony to celebrate the opening of CS First Boston's new branch office in Seoul, Korea,
- all in violation of 18 U.S.C. § 207(c).

PRAYER FOR RELIEF

WHEREFORE, plaintiff, the United States of America, prays that judgment be entered in its favor against RICHARD C. HOLBROOKE and requests civil penalties be awarded to plaintiff pursuant to 18 U.S.C. § 216(b).

Respectfully Submitted,



JOSEPH E. GANGLOFF
D.C. Bar # 345-884
Principal Deputy
STEVAN E. BUNNELL
DC Bar # 414-938
Trial Attorney
Public Integrity Section
Criminal Division
U.S. Department of Justice
P.O. Box 27518, McPherson Station
Washington, D.C. 20038
(202) 514-1412

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IN THE UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF COLUMBIA

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M. WAYER-WHITTINGTON
CLERK
U.S. DISTRICT COURT
DISTRICT OF COLUMBIA

UNITED STATES OF AMERICA,

c/o

U.S. Department of Justice

Public Integrity Section

P.O. Box 27518

McPherson Square Station

Washington, D.C. 20038

Plaintiff,

v.

RICHARD C. HOLBROOKE,

Defendant,

c/o

Simpson Thacher & Bartlett

425 Lexington Avenue

New York, New York 10017

His Attorneys.

CASE NUMBER 1:99CV00309
JUDGE: Henry H. Kennedy
DECK TYPE: Civil General
DATE STAMP: 02/09/99

ANSWER

Ambassador Richard C. Holbrooke, by and through his undersigned attorneys,
submits the following answer to the government's complaint in this matter.

FIRST DEFENSE

Ambassador Holbrooke answers the individual paragraphs of the complaint as
follows:

1. This paragraph alleges a description of the complaint as to which no answer
is required.

2. This paragraph alleges a conclusion of law as to which no answer is required.

3. This paragraph alleges a conclusion of law as to which no answer is required.

4. This paragraph identifies the plaintiff in this action and alleges a conclusion of law as to which no answer is required.

5. Ambassador Holbrooke admits that he was employed in Washington, D.C. as Assistant Secretary of State for European and Canadian Affairs.

6. Ambassador Holbrooke admits that he resigned as Assistant Secretary on February 21, 1996, that he became an employee of an investment banking firm, and that his responsibilities in that position included, among other things, using his contacts to promote the firm and generate investment banking opportunities for it. After resigning as Assistant Secretary, Ambassador Holbrooke also was appointed as an unpaid Special Government Employee ("SGE"). As an SGE, Ambassador Holbrooke provided advice to senior State Department officials and, on occasion, was requested by State Department officials to meet with certain foreign officials around the world to discuss U.S. foreign policy, particularly as it related to Bosnia, the expansion of NATO and European security matters.

7. Ambassador Holbrooke admits that after resigning as Assistant Secretary, he traveled to Korea, where he delivered an address to the Asia Society, attended the opening ceremony of his investment banking firm's new branch office in Seoul, and had certain meetings with Korean business leaders and government officials. Ambassador Holbrooke admits that his trip was paid for by his investment banking firm and that he was accompanied at times by two officials from the firm.

8. Ambassador Holbrooke admits that on March 21, 1996, he sent a letter on his firm's letterhead to the U.S. Ambassador in Korea, James T. Laney, requesting that he arrange a

"courtesy call" with Korean President Kim Young Sam, whom Ambassador Holbrooke had known "since 1978," and that he suggested that Ambassador Laney might attend the meeting "if appropriate." In diplomatic parlance, the term "courtesy call" indicated that the visit would not touch upon any business-related issues. Ambassador Holbrooke admits that Ambassador Laney agreed to make the arrangements and to join him. On information and belief, Ambassador Holbrooke admits that Ambassador Laney and/or his staff at the U.S. embassy subsequently contacted the Korean government and scheduled a meeting for him and Ambassador Laney with President Kim. Ambassador Holbrooke denies that this meeting, which never took place, had any connection whatsoever with his investment banking firm, and maintains instead that it was intended to provide Ambassador Holbrooke an opportunity to brief President Kim on evolving U.S. foreign policy and other foreign policy issues.

9. Ambassador Holbrooke admits that in a letter dated March 22, 1996, Ambassador Laney offered to host a luncheon or dinner for him "with appropriate guests." Ambassador Holbrooke admits that on March 22, 1996, he accepted Ambassador Laney's offer "to host a meal with prominent Koreans." Ambassador Holbrooke admits that on April 26, 1996, Ambassador Laney sent a list of proposed invitees for a luncheon and asked Ambassador Holbrooke for additional suggestions. Ambassador Holbrooke admits that on April 30, 1996, he wrote back saying that the proposed list looked "excellent" and suggested, "as a courtesy," that the Korean Foreign Minister and Finance Minister also be invited. Ambassador Holbrooke denies that his correspondence was connected in any way with the interests of his investment banking firm.

10. Ambassador Holbrooke admits that on May 10, 1996, Ambassador Laney hosted a lunch in his honor at the Ambassador's official residence and that the U.S. embassy

made the arrangements for the lunch. Ambassador Holbrooke denies that the Korean Minister of Trade, Industry and Energy, and the Chairman of the Korean Trade-Investment Promotion Agency were present. Ambassador Holbrooke admits that certain Korean officials, three officials from his investment firm, including himself, and four U.S. embassy officials, including Ambassador Laney, were present. On information and belief, Ambassador Holbrooke admits that the U.S. government paid for the luncheon. Ambassador Holbrooke denies that any business was discussed at the lunch and refers to the factual stipulation of the parties as to that issue.

11. Ambassador Holbrooke denies information sufficient to form a belief as to the accuracy of this paragraph.

12. Ambassador Holbrooke denies that he invited Ambassador Laney to attend any ceremony at his investment banking firm's office in Korea. Ambassador Holbrooke admits that Ambassador Laney and others attended the event, which occurred during regular business hours.

13. Ambassador Holbrooke realleges and incorporates by reference the answers to paragraphs 1 through 12 as though fully set forth herein.

14. Ambassador Holbrooke denies that at any time relevant hereto he ever communicated with any State Department or embassy employee on behalf of his investment banking firm for any purpose, specifically including:

- (a) the arrangement of a meeting with Korean President Kim;
- (b) the arrangement of a luncheon at Ambassador Laney's residence; and
- (c) the participation of Ambassador Laney at a ceremony at his investment banking firm's office in Seoul, Korea.

SECOND DEFENSE

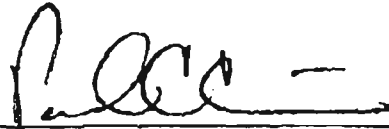
The complaint fails to state a claim upon which relief can be granted. During the period at issue, Ambassador Holbrooke was not a "former" officer, as defined by 18 U.S.C. § 207(c), because he continued as an SGE after his resignation as Assistant Secretary. Nor did Ambassador Holbrooke contact any State Department or embassy personnel "with the intent to influence" any "official action" on behalf of any person or entity other than the United States. 18 U.S.C. § 207(c). At no time after his resignation as Assistant Secretary did Ambassador Holbrooke contact any State Department or embassy personnel to seek official action on behalf of the investment banking firm that employed him. All contacts Ambassador Holbrooke had with State Department or embassy personnel after his resignation as Assistant Secretary were made in his capacity as an SGE. Each such contact was made in furtherance of U.S. foreign policy interests, with the support of the U.S. State Department, and was entirely appropriate under all applicable legal and ethical guidelines and regulations.

PRAYER FOR RELIEF

WHEREFORE, Richard C. Holbrooke respectfully requests that judgment be entered in his favor against the United States.

February 4, 1999

Respectfully Submitted,



PAUL C. CURNIN
JASON P. CRONIC
(D.C. Bar # 442-002)
SIMPSON THACHER & BARTLETT
425 Lexington Avenue
New York, New York 10017
(212) 455-2000

Attorneys for Richard C. Holbrooke

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DATE 02-14-2011 BY 60324UCBAW/SB/CMW

IN THE UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF COLUMBIA

RECEIVED

FEB 9 4 01 PM '99

N. MAYER WHITTINGTON
CLERK
U.S. DISTRICT COURT
DISTRICT OF COLUMBIA

UNITED STATES OF AMERICA,

Plaintiff

v.

RICHARD C. HOLBROOKE

Defendant

Civil Action No.

STIPULATION OF DISMISSAL OF COMPLAINT

Pursuant to Federal Rule of Civil Procedure 41(a)(1)(ii), plaintiff, the United States of America, and defendant, RICHARD C. HOLBROOKE, agree that the Complaint in the above-captioned matter is hereby dismissed with prejudice, pursuant to the Settlement Agreement and Factual Stipulation, attached hereto.

-2-

Each party shall bear its own costs and attorneys' fees.

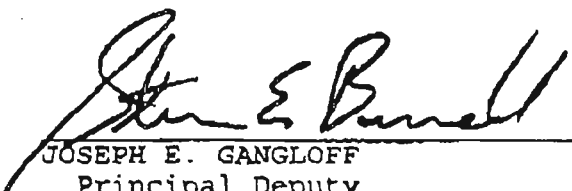
FOR THE PLAINTIFF

THE UNITED STATES OF AMERICA

Date:

2/9/99

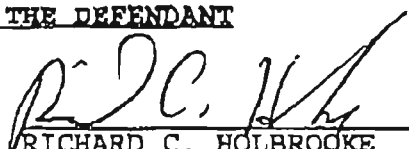
By:


JOSEPH E. GANGLOFF
Principal Deputy
STEVAN E. BUNNELL
D.C. Bar # 414-938
Trial Attorney
Public Integrity Section
Criminal Division
U.S. Department of Justice
P.O. Box 27518, McPherson Station
Washington, D.C. 20038
(202)-514-1412

FOR THE DEFENDANT

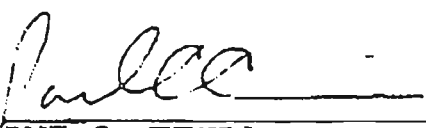
Date:

2/4/99


RICHARD C. HOLBROOKE
Defendant

Date:

2/4/99


PAUL C. CURNIN
JASON P. CRONIC
D.C. Bar # 442-002
Simpson Thacher & Bartlett
425 Lexington Avenue
New York, New York 10017
(212) 455-2000

SETTLEMENT AGREEMENT

This Settlement Agreement (Agreement) is made and entered into this 9th day of February, 1999, by and between the United States Department of Justice (United States) and RICHARD C. HOLBROOKE.

PREAMBLE

WHEREAS, both parties agree that the factual predicate for this settlement is set forth in the Complaint and in the Factual Stipulation, which is attached hereto and incorporated by reference into this Settlement Agreement; and

WHEREAS, the United States maintains as follows: that in April and May, 1996, as set forth in the attached Factual Stipulation, RICHARD C. HOLBROOKE violated 18 U.S.C. § 207(c), by communicating with a State Department official at the U.S. embassy in Korea to seek official action in connection with assistance in arranging meetings with high-level Korean government officials; that Holbrooke violated section 207(c) by inviting the U.S. ambassador to Korea to attend the ceremonial opening of CS First Boston's branch office in Seoul, Korea; that RICHARD C. HOLBROOKE's communications with embassy personnel occurred within one-year of the termination of his employment as Assistant Secretary of State for European and Canadian Affairs, which was a senior position covered by the special post-employment restrictions of section 207(c); and that HOLBROOKE's communications with the embassy were made, at least in part, on behalf of his then employer, CS First Boston, Inc; and

-2-

WHEREAS, the United States does not allege: (a) that HOLBROOKE communicated with the U.S. embassy in Korea in willful violation of section 207(c); or (b) that the communications resulted in any direct financial gain to HOLBROOKE or CS First Boston; and

WHEREAS, the United States recognizes that it may have been in the United States's national interest to have HOLBROOKE discuss certain foreign policy issues with certain high-level Korean officials; and

WHEREAS, RICHARD C. HOLBROOKE denies that he violated 18 U.S.C. § 207(c), and asserts that: (1) he was acting at all times as a Special Government Employee of the State Department and therefore that it was appropriate to communicate with State Department and embassy personnel; (2) maintains that he communicated with State Department and embassy employees to further the policy interests of the United States and not for any other reason; and (3) that he never invited the U.S. Ambassador to Korea to attend any ceremony at an office of CS First Boston.

WHEREAS, both parties nevertheless desire to reach a full and final compromise of any and all actual and potential allegations relating to HOLBROOKE's post employment contacts with U.S. Government personnel in Korea and elsewhere, and further wish to avoid the expense, delay and uncertainty of potentially protracted litigation.

ACCORDINGLY, in reliance upon the representations contained herein and in consideration of the mutual promises, covenants,

-3-

and obligations in this Agreement, as a resolution of all pending claims and differences, for good and valuable consideration, the sufficiency of which is hereby acknowledged, the parties agree as follows:

TERMS AND CONDITIONS

1. RICHARD C. HOLBROOKE agrees to make a lump sum payment of \$5,000.00 made payable to the United States Treasury, within ten days of the filing of this Settlement Agreement in the United States District Court for the District of Columbia.

2. Except as noted below, the United States hereby releases and discharges all claims, demands, charges, complaints and causes of action against RICHARD C. HOLBROOKE, based on the facts set forth in the Factual Stipulation and all other facts presently known to the Department of Justice as a result of the Department of State and Justice Department's investigation of RICHARD C. HOLBROOKE'S alleged post-employment contacts on behalf of CS First Boston with State Department personnel. The United States further promises to refrain from instituting or maintaining any claim, demand, charge, complaint or cause of action, of any nature whatsoever, against RICHARD C. HOLBROOKE, based on these same contacts and related conduct presently known to the Department of Justice. The terms and conditions of this Settlement Agreement do not apply to any tax matters that may arise or may have arisen out of facts discovered during the course of the Government's investigation of this matter.

-4-

3. The parties further agree that this Settlement Agreement is the entire agreement with respect to any and all promises of the United States and RICHARD C. HOLBROOKE, in connection with the potential liability of RICHARD C. HOLBROOKE arising out of the facts set forth in the Complaint and Factual Stipulation and all facts presently known to the Justice Department as a result of the Government's investigation of this matter.

4. The parties agree that this Settlement Agreement may not be altered, amended, modified or otherwise changed except in writing duly executed by RICHARD C. HOLBROOKE and the United States.

5. If this Settlement Agreement does not become effective, the pleadings and Factual Stipulation shall not be binding on either party.

6. This Settlement Agreement shall become effective upon signing by all signatories set forth below, but it may be executed in separate counterparts, each of which shall be deemed an original, but all counterparts collectively shall constitute one and the same instrument.

-5-

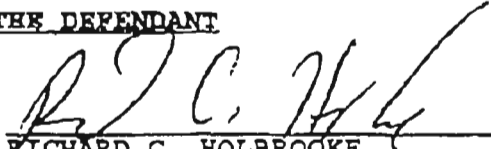
FOR THE PLAINTIFF

THE UNITED STATES OF AMERICA

Date: 2/9/99By: 

JOSEPH E. GANGLOFF
Principal Deputy
STEVAN E. BUNNELL
D.C. Bar # 414-938
Trial Attorney
Public Integrity Section
Criminal Division
U.S. Department of Justice
P.O. Box 27518, McPherson Station
Washington, D.C. 20038
(202)-514-1412

FOR THE DEFENDANTDate: 2/4/99


RICHARD C. HOLBROOKE
Defendant

Date: 2/4/99


PAUL C. CURNIN
JASON P. CRONIC
D.C. Bar # 442-002
Simpson Thacher & Bartlett
425 Lexington Avenue
New York, New York 10017
(212) 455-2000

FACTUAL STIPULATION

From 1977 to 1981, Richard C. Holbrooke was Assistant Secretary of State for East Asian and Pacific Affairs. From 1993 to 1994, Richard C. Holbrooke was United States Ambassador to Germany. In 1994, he became Assistant Secretary of State for European and Canadian Affairs, which is a senior level position covered by 18 U.S.C. § 207(c). While Assistant Secretary, Holbrooke became the lead U.S. negotiator in the 1995 Dayton Peace Accords, which ended the war in the former Yugoslavia. On February 21, 1996, Holbrooke resigned as Assistant Secretary to become a Vice Chairman of the investment banking firm CS First Boston, Inc. Holbrooke's responsibilities at CS First Boston included using his contacts to promote CS First Boston and generate investment banking opportunities for the firm.

After resigning as Assistant Secretary of State, Holbrooke was appointed to be an unpaid Special Government Employee. As a Special Government Employee, Holbrooke provided advice to senior State Department officials and on occasion was requested by State Department officials to meet with certain foreign officials around the world to discuss U.S. foreign policy, particularly as it related to Bosnia, the expansion of NATO and European security matters.

Within one year of leaving his position as Assistant Secretary of State, Holbrooke contacted Department of State personnel in Washington and various U.S. embassies, including Korea. Some of these contacts concerned matters of interest to CS First Boston. In certain instances, these contacts were merely social. In other instances, the contacts also related to matters pertinent to his appointment as a Special Government Employee.

Holbrooke's trip to Korea. In May 1996, Holbrooke traveled to Korea, where he delivered a speech to the Asia Society, attended the opening ceremony of CS First Boston's new branch office in Seoul, and had a series of meetings with Korean business leaders and government officials. Holbrooke's trip was paid for by CS First Boston, and he was accompanied while in Korea by two CS First Boston officials, David P. Walker and Hobart Epstein.

Communications concerning meeting with President Kim. On March 21, 1996, in the course of preparing for the Korea trip, Holbrooke sent a letter on CS First Boston letterhead to the U.S. Ambassador in Korea, James T. Laney, requesting that he set up a "courtesy call" for him with Korean President Kim Young Sam. Holbrooke also suggested that Ambassador Laney might join in the meeting "if appropriate." Laney agreed to make the arrangements and join Holbrooke. Laney and his staff at the U.S. embassy subsequently contacted the Korean government and scheduled a meeting for Holbrooke and Laney with President Kim for May 11, 1996. The meeting ultimately had to be canceled because of a

-2-

scheduling conflict.

Communications concerning arrangements for luncheon. In addition to attempting to arrange a meeting with President Kim, Laney, by letter dated March 22, 1996, offered to host a luncheon or dinner for Holbrooke "with appropriate guests." On March 22, 1996, on CS First Boston letterhead, Holbrooke accepted Laney's offer "to host a meal with prominent Koreans." On April 26, 1996, Laney sent a proposed list of invitees and asked Holbrooke for any additional suggestions. On April 30, 1996, on CS First Boston letterhead, Holbrooke wrote back saying that the proposed list looked "excellent" and suggested that the Korean Foreign Minister and Finance Minister also be invited.

On May 10, 1996, Laney hosted a luncheon in honor of Holbrooke at the Ambassador's official residence. The U.S. embassy handled the arrangements. According to official embassy records, four prominent Koreans attended the luncheon, including the Korean Minister of Trade, Industry and Energy, and the Chairman of the Korea Trade-Investment Promotion Agency. Also present were three officials from CS First Boston, including Holbrooke, and four U.S. embassy officials, including Laney. The U.S. government paid for the luncheon. In seeking reimbursement for the luncheon, Ambassador Laney certified in a document dated June 16, 1996, that the purpose of the luncheon had been "Promotion of U.S. National Interests (70%)" and "Promotion of U.S. Economic Activities (30%)." The government does not allege that any specific business interests related to CS First Boston were discussed at the luncheon.

Communications concerning CS First Boston Ribbon Cutting. There is evidence that Holbrooke also asked Laney to attend a ribbon cutting ceremony to celebrate the opening of CS First Boston's new branch office in Seoul, Korea, on May 9, 1996. Holbrooke, Laney and approximately 20 to 30 other people attended the event, which occurred during regular business hours. Holbrooke states that he did not invite Laney.

UNITED STATES DEPARTMENT OF JUSTICE
Federal Bureau of Investigation

Copy to:

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Report of:

PSS [REDACTED]

Office: WFO

Date:

February 16, 1999

Case ID #:

161A-HQ-1256328 *25*

Title:

RICHARD CHARLES ALBERT HOLBROOKE

Character:

LEVEL I - PAS

Synopsis:

[REDACTED] Special Agent-In-Charge Office of
Inspector General interviewed. [REDACTED] Trial
Attorney, PIS interviewed. ELAINE SHOCAS, Chief of Staff
to Secretary MADELEINE ALBRIGHT, interviewed. [REDACTED]
Special Agent Office of Inspector General interviewed.

-RUC-

Charles F. C. Ruff

NOTE: This limited inquiry was opened on 2/11/99. The DOS OIG investigation of Mr. Holbrooke was completed in December, 1998, and a referral for prosecution on a SES violation was forwarded to DOJ/PIS. A civil complaint was filed in U.S. District Court on February 9, 1999. Mr. Holbrooke settled the civil complaint by agreeing to pay a \$5,000 fine to the U.S. Government. Our limited inquiry is complete.

Sent to the White House: copies of the civil complaint and settlement agreement; a July 14, 1998, interview of Mr. Holbrooke conducted by the OIG and PIS; and, a November 20, 1998, unclassified deposition of Mr. Holbrooke conducted by the OIG and PIS. A classified portion of the deposition was not provided to the FBI by the DOS (All obtained from WFO on 2/16/99).

DOS concurrence to disseminate Mr. Holbrooke's interview and deposition was given by [redacted] Special Agent-In-Charge, Special Operations, OIG, DOS, on 2/16/99.

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FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE WFO	OFFICE OF ORIGIN BUREAU	DATE 2/17/99	INVESTIGATIVE PERIOD 2/14/99 - 2/17/99
TITLE OF CASE RICHARD CHARLES ALBERT HOLBROOKE		REPORT MADE BY PSS [REDACTED]	TYPED BY: SDT <i>SDT</i>
		CHARACTER OF CASE LEVEL I - PAS	

REFERENCE: BUREAU EC to WFO dated 2/11/99.

(RUC)

ADMINISTRATIVE: BUDED: 2/12/99

All individuals were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality, both limited and unlimited, have been granted where noted.

This case is being submitted past the BUDED due to the fact additional leads were developed to recontract [REDACTED] and ELAINE SHOCAS.

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APPROVED	SPECIAL AGENT IN CHARGE	DO NOT WRITE IN SPACES BELOW			
COPIES MADE: <i>JCC/DFS</i> 2-BUREAU (161A-HQ-1256328) PSS [REDACTED] 1-WFO [REDACTED]					
DISSEMINATION RECORD OF ATTACHED REPORT		Notations			
Agency		<i>[Signature]</i>			
Request Recd.					
Date Fwd.					
How Fwd.					
By					

only 1st page Uploaded A* 3-12-99
1 - 2-12-99
COVER PAGE

- 1 -

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 2/17/99

[redacted] Special Agent-In-Charge, Special Operations, Office of Inspector General, United States Department of State, 1700 N. Moore Street, Suite 910, Arlington, Virginia, 703/284-1913, was contacted concerning the appointee, RICHARD CHARLES ALBERT HOLBROOKE. Having previously been advised of the identity of the interviewing Agent, [redacted] provided the following information:

[redacted] advised that to date, his office has not been contacted by the United States Senate or the White House but anticipates that the Senate or White House will request a copy of the Department of State's report concerning the investigation conducted on the appointee.

[redacted] was advised that the FBI intends to turn over to the White House a copy of the appointee's interview provided by the Department of State along with the Complaint and Settlement Agreement which were both provided by the United States Department of Justice Public Integrity Section. [redacted] stated that he is in agreement with this decision.

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Investigation on 2/16/99 at Washington, D.C. (telephonically)

File # 161A-HQ-1256328 Date dictated 2/17/99

by S. [redacted]

UNITED STATES DEPARTMENT OF JUSTICE
Federal Bureau of Investigation

Copy to:

Report of:
Date:

PSS [REDACTED]
February 17, 1998

Office: WFO

Case ID #:

161A-HQ-1256328 *ga*

b6
b7C

Title:

RICHARD CHARLES ALBERT HOLBROOKE

Character:

LEVEL I - PAS

Synopsis:

interviewed. [REDACTED] re-interviewed. ELAINE SHOCAS re-

-RUC-

- 1 -

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 2/16/99

On February 12, 1999, [redacted] Special Agent, United States Department of State, Office of the Inspector General, 1700 North Moore Street, Room 910, Arlington, Virginia, 22209, telephone number [redacted] and [redacted] Special Agent, United States Department of State, Office of the Inspector General, 1700 North Moore Street, Room 910, Arlington, Virginia, 22209, telephone number [redacted] were interviewed by Special Agent [redacted] regarding the appointee, MICHAEL C. HOLBROOKE. After being advised as to the purpose of the interview and the official identity of the interviewing agent, [redacted] and [redacted] provided the following information:

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[redacted] and [redacted] provided four documents as follows: a 32-page prosecutive referral with cover letter dated December 17, 1998; a 7-page information memorandum dated December 17, 1998; a 77-page report entitled "Holbrooke Interview"; and, 207-page report entitled "In the Matter of Ambassador Richard Holbrooke". These documents are being retained in a separate 1-A envelope.

b6
b7CInvestigation on 2/12/99 at Arlington, VirginiaFile # 161A-HQ-1256326 Date dictated 2/16/99by SA [redacted]

FEB-12-1999 17:43

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ALL INFORMATION CONTAINED
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83309

FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD
WFO	BUREAU	2/16/99	2/14/99
TITLE OF CASE		REPORT MADE BY	TYPED BY:
RICHARD CHARLES ALBERT HOLBROOKE		PSS [REDACTED]	SDT <i>SDT</i>
		CHARACTER OF CASE	
		LEVEL I - PAS	

REFERENCE: BUREAU EC to WFO dated 2/11/99.

(RUC)

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ADMINISTRATIVE: BUDED: 2/12/99

All individuals were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality, both limited and unlimited, have been granted where noted.

This case is being submitted past the BUDED due to the fact interview's were unavailable until late evening on February 12, 1999.

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Agency		<i>3/15</i>			
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Date Fwd.					
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By					

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U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535-0001

MAR 16 1999
BY COURIER

Honorable Charles F. C. Ruff
Counsel to the President
The White House
Washington, D.C.

b6
b7C

Dear Mr. Ruff:

Reference is made to my telephone conversation on March 12, 1999, with Associate Counsel [redacted] of your office. During our conversation [redacted] was advised that additional information had come to the attention of the FBI concerning Mr. Richard Charles Albert Holbrooke. Enclosed is a summary memorandum addressing that information. Also enclosed is a copy of the newspaper article referred to in the summary memorandum.

EXTREME CAUTION SHOULD BE EXERCISED IN DISCUSSING THIS MATTER AS ANY DISCLOSURE OF THE DETAILS COULD JEOPARDIZE THE INVESTIGATION. Dissemination of the information disclosed in the enclosed summary memorandum has been cleared by the Office of the Deputy Attorney General.

This completes our investigation. Should you have any questions regarding this matter please contact Supervisory Personnel Security Specialist [redacted] or myself, telephone number [redacted].

Sincerely yours,

[redacted]
Chief
Special Inquiry and-General
Background Investigations Unit

This document is unclassified when classified enclosures are detached.

~~SECRET~~

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ON 9/28/99
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Director's Office
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This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

Charles F. C. Ruff

NOTE: On March 12, 1999, in addition to being advised that information had come to the attention of the FBI concerning Mr. Holbrooke, [REDACTED] was advised that the information would be forwarded to the White House following review by the Office of the Deputy Attorney General. [REDACTED] was not advised what the information was. [REDACTED] advised that Mr. Holbrooke's Senate confirmation hearings had not been scheduled and would not occur until at least sometime in early April.

LEVEL 1 - 1 OF 1 STORY

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The Washington Post

January 28, 1999, Thursday, Final Edition

SECTION: A SECTION; Pg. A01

LENGTH: 1482 words

HEADLINE: Serbs Tried To Cover Up Massacre; Kosovo Reprisal Plot Bared by Phone Taps

BYLINE: R. Jeffrey Smith, Washington Post Foreign Service

DATELINE: RACAK, Yugoslavia, Jan. 27

BODY:

The attack on this Kosovo village that led to the killing of 45 ethnic Albanian civilians 12 days ago came at the orders of senior officials of the Serb-led Belgrade government who then orchestrated a coverup following an international outcry, according to telephone intercepts by Western governments.

Angered by the slaying of three soldiers in Kosovo, the officials ordered government forces to "go in heavy" in a Jan. 15 assault on Racak to search out ethnic Albanian guerrillas believed responsible for the slayings, according to Western sources familiar with the intercepts.

As the civilian death toll from the assault mounted and in the face of international condemnation, Yugoslavia's deputy prime minister and the general in command of Serbian security forces in Kosovo systematically sought to cover up what had taken place, according to telephone conversations between the two.

Details of the conversations, which were made available by Western sources, shed new light on the attack and its aftermath, which have again brought NATO to the brink of confrontation with Yugoslav President Slobodan Milosevic over his government's repression of separatist ethnic Albanians in Kosovo. The calls show that the assault on Racak was monitored closely at the highest levels of the Yugoslav government and controlled by the senior Serbian military commander in Kosovo -- a province of Serbia, Yugoslavia's dominant republic.

The bodies of 45 ethnic Albanian civilians were discovered on a hillside outside the village by residents and international observers shortly after the government forces withdrew.

"We have to have a full, independent investigation of this to get to the bottom of it," a senior Clinton administration official told staff writer Dana Priest in Washington. "Those responsible have to be brought to justice."

In a series of telephone conversations, Deputy Prime Minister Nikola Sainovic and Serbian Interior Ministry Gen. Sreten Lukic, expressed concern about international reaction to the assault and discussed how to make the killings look as if they had resulted from a battle between government troops and members



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The Washington Post, January 28, 1999

of the separatist Kosovo Liberation Army.

The objective was to challenge claims by survivors -- later supported by international monitors -- that the victims had been killed in an execution-style massacre and to defuse pressures for a NATO military response.

Sainovic is the highest-ranking official in the Yugoslav government responsible for Kosovo matters and has been present at most negotiations with top Western officials; several Western officials said they understand that he reports to Milosevic on Kosovo issues. "We often see him as the link between the government in Belgrade and the administration down here" in Kosovo, one official said.

Yugoslav army and Serbian Interior Ministry troops have waged an 11-month campaign against ethnic Albanian guerrillas seeking independence for Kosovo, where ethnic Albanians outnumber Serbs 9 to 1 but Serbs hold all the power. At least 1,000 civilians have been killed in the conflict.

Under an October accord imposed on Milosevic with the threat of NATO airstrikes, the Yugoslav leader agreed to withdraw some of his forces from Kosovo, and the conflict eased as both sides maintained -- albeit sporadically -- an unofficial truce.

That changed in this farming village when army and Interior Ministry troops converged on the area. As a result of the attack, the village has been transformed into a ghostly place, bathed in dense, damp fog that cloaks ice-covered thickets and leafless trees. Many of its houses were shattered by direct fire from three T-55 army tanks. Now there are only a few dogs, a handful of braying donkeys and scores of other barnyard animals where more than 1,500 ethnic Albanians once lived.

One source familiar with the phone calls between military leaders in Kosovo and officials in Belgrade on Jan. 15 and succeeding days said they show that "the intent was to go in heavy" to find three guerrillas whom government security officials blamed for the ambush of an Interior Ministry convoy on Jan. 8 southwest of Racak in which three soldiers died. "It was a search and destroy mission" with explicit approval in Belgrade, the source said.

As tank and artillery fire and the chatter of machine-guns echoed off the hills surrounding Racak, Sainovic called Lukic from Belgrade, according to Western sources. Sainovic was aware that the assault was underway, and he wanted the general to tell him how many people had been killed. Lukic replied that as of that moment the tally stood at 22, the sources said.

In calls over the following days, Sainovic and Lukic expressed concern about the international outcry and discussed how to make the killings look like the result of a pitched battle. Their efforts to cover up what occurred continued, the Western sources said.

One measure Sainovic advocated in his calls was to seal Kosovo's border with Macedonia to prevent Louise Arbour, a top U.N. war crimes investigator, from entering. Arbour was turned back. Another was to demand that Interior Ministry troops fight to regain control of the killing site and reclaim the bodies. Serbian forces launched a second assault on the village Jan. 17, and the following day they seized the bodies from a mosque and transferred them to a

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morgue in Pristina, the provincial capital.

A third was to explore whether the killings could be blamed on an independent, armed group that supposedly came to the region and attacked the residents of Racak after government troops had left. Sainovic was told that making this claim was not feasible.

Shortly after the attack, a Yugoslav government spokesman said that the bodies found on the hillside were armed, uniformed members of the Kosovo Liberation Army. The account was challenged by international inspectors and journalists who arrived on the scene Jan. 16 and found dozens of corpses on the ground, all in civilian clothes.

Government officials later alleged that some of the victims were accidentally caught in a cross-fire between security forces and the rebels or were deliberately slain by the guerrillas to provoke international outrage. But survivors, diplomatic observers and rebels who were in the area at the time of the killings say that little shooting occurred inside the town early in the the assault and that no battle was underway at around 1 p.m., when most of the victims are said to have died. These sources say that Kosovo Liberation Army forces were not deployed near a gully where at least 23 of the bodies were found, and that none of the trees in the area bore bullet marks suggestive of a battle.

A team of forensic pathologists that arrived in Kosovo from Finland last Friday, a week after the killings, has found nothing to contradict these accounts, according to a Western official. "A picture is beginning to emerge from the autopsies, and it is a tragic one," said another source, explaining that the types of wounds on the victims indicate that they were "humiliated" before being fired on from several directions.

The last of 40 autopsies were to be completed today, and the Finnish pathologists say their final report will be ready by next week. But their preliminary conclusion is consistent with an account given on Jan. 16 by Imri Jakupi, 32, a resident of Racak who said he escaped death by running into the woods. He said that he and other men had been rounded up by security forces in house-to-house searches and ordered to walk along a ravine before troops "started shooting from the hills at us. . . . Firing came from all over."

According to Shukri Buja, 32, the commander of guerrilla forces in the area, Racak was home to many rebels, as government security officials suspected. But he said that most of them were driven into the hills early Jan. 15 by a wave of artillery and tank fire. "We were shot at from three sides . . . and they moved their forces during the day, so it was very hard for us to come down into the village," Buja said.

Villagers told inspectors and reporters at the scene on Jan. 17 that many of the dead were last seen alive in the hands of Interior Ministry troops, who said they were under arrest. Many of the troops involved in the operation wore black ski masks, but survivors said they recognized some local policemen and Serbian civilians in uniforms.

Jakupi and another Racak resident, Rem Shabani, told reporters that they overheard some of what the troops were saying on their walkie-talkies as two groups of men were being led away from the village.



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The Washington Post, January 28, 1999

"How many of them are there?" one soldier asked. When the reply came back as 29, Shabani recalled, the order given was: "Okay, bring them up." Yakupi said he then overheard another order: "Now get ready to shoot." He fled before the shots rang out.

GRAPHIC: MAP,,TWP

LANGUAGE: ENGLISH

LOAD-DATE: January 28, 1999

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March 12, 1999

MEMORANDUM FOR THE DEPUTY ATTORNEY GENERAL

FROM: General Counsel, FBI

SUBJECT: FORWARDING MATTER OF SUPPLEMENTAL TO LIMITED INQUIRY ON
PROSPECTIVE PRESIDENTIAL APPOINTEE (RICHARD CHARLES
ALBERT HOLBROOKE) WHICH HAS REVEALED AN ONGOING
INVESTIGATION (S) u

PURPOSE: To obtain the Deputy Attorney General's determination
of what information should be communicated to the White House
Counsel's Office in response to a limited inquiry request on the
above-captioned prospective presidential appointee which has
revealed an ongoing investigation. (S) u

TIMETABLE: Immediate. (U)

DISCUSSION:

The FBI supplied a summary memorandum to the White
House Counsel's Office on February 18, 1999, in response to that
office's request for a limited inquiry on this subject.
Following dissemination of that memorandum to the White House,
the FBIHQ unit responsible for background investigations was
informed of a recently opened investigation involving the
prospective appointee who was at one time the focus of an ongoing
[Unauthorized Disclosure of Classified Information] investigation.

(S)

(U)

~~(S)~~

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1 - The Director (7176)
1 - [redacted] (7142)
1 - [redacted] (7176)
1 - Mr. L. R. Parkinson (7427)
1 - [redacted] (7427)
1 - Ms. C. B. Thornton (7159)
1 - [redacted] (7159)
1 - [redacted] (4026)
1 - [redacted] (4383)
1 - [redacted] (7975)

1 - [redacted] Jr. (4226)
1 - [redacted] (4371)
1 - [redacted] (7975)
1 - [redacted] (4371)
1 - [redacted] (4371)
1 - [redacted] (7338)
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Off. Liaison & _____
Int. Affs. _____
Off. of Public Affs. _____
Telephone Rm. _____
Director's Sec'y _____

ALE:ale (18) *ae*

Classified by: G-3
Reason: 1.5(c)
Declassify on: X-1

~~SECRET~~

APPROVED: _____
Director _____
Deputy Director _____
Crim. Inv. _____
GIS _____
Finance _____
Gen. Counsel *RP* _____
Info. Res. _____
Inspection _____
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OAR _____
Personnel _____
Training _____
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Affairs _____
Off. of Public & _____
Cong. Affs. _____

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Memorandum for the Deputy Attorney General

Re: Forwarding Matter of Supplement to Limited Inquiry on
Prospective Presidential Appointee (Richard Charles
Albert Holbrooke) Which Has Revealed An Ongoing
Investigation (S)(u)

After consulting with the responsible FBIHQ substantive unit to determine what information could be disseminated without harm to the investigation, we have prepared a proposed response apprising the White House Counsel's Office of the matter. The Attorney General has been briefed on this matter by FBI Executive Management. [redacted] Acting Chief, Internal Security Section, Criminal Division, Department of Justice is directing the investigation. [redacted] telephone number is [redacted]
(U)

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RECOMMENDATION: That you approve dissemination by the FBI to the White House of the information contained in the attachment hereto. (U)

APPROVE _____

DISAPPROVE _____

OTHER _____

Enclosure

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MAIL-IT REQUESTED: MARCH 16, 1999

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CLIENT:
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~~SECRET~~**FEDERAL BUREAU OF INVESTIGATION**

Precedence: IMMEDIATE

Date: 03/12/1999

To: Administrative services

Attn: Special Inquiry

UC, [REDACTED]

From: National Security

(U)

~~(S)~~ [NS-1C] Room 4226

Contact: IOS [REDACTED]

Extension [REDACTED]

Approved By: [REDACTED] /u

Drafted By: [REDACTED]

(U)

Case ID #: ~~(S)~~ [65X-HQ-1275826] (Pending)

Title: ~~(S)~~ [UNSUB(S); UNAUTHORIZED DISCLOSURE OF
CLASSIFIED INFORMATION IN THE JANUARY
28, 1999 EDITION OF THE WASHINGTON POST,
ENTITLED "SERBS TRIED TO COVER UP
MASSACRE," BY JEFFREY SMITH;
(U) ESP-X (MEDIA LEAK)] ~~(S)~~
OO:HQ

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Synopsis: ((U)) - Responds to request for information relating to
captioned matter as it relates to Special Envoy to the Balkans,
Richard Holbrooke.

DECLASSIFIED BY uc/baw 60324
ON 10-12-2011

~~(S)~~ Classified By: 7259, NS-1C/NSD
Reason: 1.5 (a)
Declassify On: X1

(U) Details: ~~(S)~~ The following responds to your request made to
NSD, NS-1C, on 03/10/1999. ~~(S)~~

- (U) 1. ~~(S)~~ What is the file number? 65X-HQ-1275826. ~~(S)~~
2. (U) Who is the OO? FBIHQ.
3. (U) Who is the HQ Unit handling and person
(SSA/Unit Chief to contact? IOS [REDACTED]
[REDACTED] Unit Chief [REDACTED]
- (U) 4. ~~(S)~~ [When was the investigation opened/initiated?
Investigation opened February 1, 1999.] ~~(S)~~

~~SECRET~~

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED EXCEPT
WHERE SHOWN OTHERWISE.

9/28/99
CLASSIFIED BY: SP5 JAC
REASON: 1.5 (c)
DECLASSIFY ON: X

445901

~~SECRET~~

To: Administrative Services From: National Security
Re: (S) [65X-HQ-1275826,] 03/12/1999

Referral/Consult

(U)

5.

(U)

6. (U) Is it an unsub(s) or subject(s) case? This investigation is an Unsub(s) case.
7. (U) What is Holbrooke's connection to the case, i.e., his involvement/how related to the investigation? Also, is/was he a subject, target, witness, unknown relationship in the case? Or has investigation eliminated him as being/possibly being any of those and/or no longer of interest to the investigation? The FBI received information that Holbrooke was the source of the unauthorized disclosure to [redacted] The information was specific, but the sources were removed from the person(s) with first hand knowledge. Based on interviews conducted by the FBI, including an interview of Holbrooke, it was determined that the information implicating Holbrooke was inaccurate in important aspects. Holbrooke is no longer the focus of this investigation.
8. (U) Is Holbrooke aware of the investigation? If so, how? Has he been told his connection, if known to the case, e.g., subject suspect, etc.? Holbrooke is aware of the investigation as he was interviewed by the FBI and was asked directly if he was responsible for the unauthorized disclosure. He denied being the source of the unauthorized disclosure. He was not apprised of of the source of the information.
9. (U) Has he been, or is he going to be interviewed? Holbrooke was interviewed by the FBI on 03/01/1999.
10. (U) Has he been, or is he going to be, polygraphed? If he has been, what questions were asked, what were his responses, and what are the results of the polygraph? During the FBI's interview of Holbrooke he was asked if he would

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~~SECRET~~

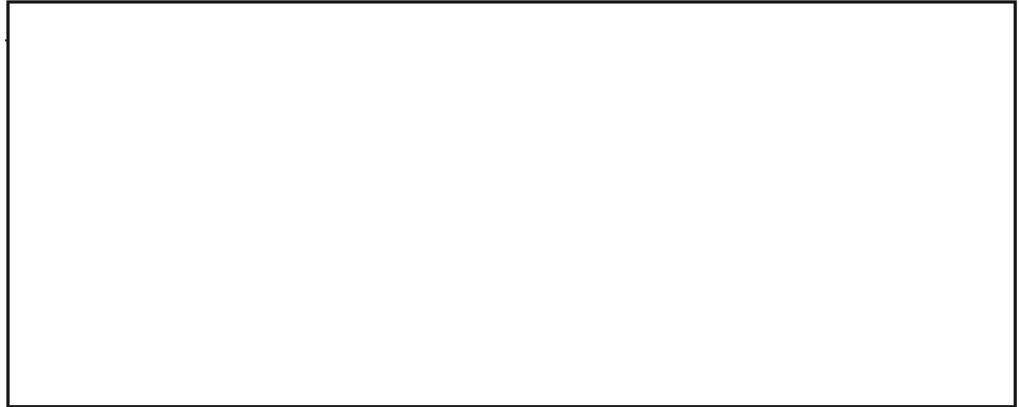
~~SECRET~~

To: Administrative services From: National Security
Re: (S) [65X-HQ-1275826] 03/12/1999

(U)

take a polygraph. He refused, stating that he would quit the government first. Referral/Consult

11



12. (U) What is the anticipated date (time frame) of completion? Holbrooke is no longer the focus of this investigation.
13. (U) In providing responses to the above questions what part, if any is classified, and at what level? ~~SECRET~~. [Information pertaining to the accuracy of media reporting] is classified.



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♦♦

~~SECRET~~

~~SECRET~~

3/10/99

Holbrooke

1. What is the file #?
2. Who is the OO?
3. Who is the HQ Unit handling and person (SSA/Unit Chief) to contact?
- (U) 4. When was the investigation opened/initiated? ~~(S)~~
5. What is the allegation(s)/ investigation about?
6. Is it an unsub(s) or subject(s) case?
7. What is Holbrooke 's connection to the case, i.e., his involvement/ how related to the investigation? Also, is/ was he a subject, suspect, target, witness, unknown relationship in the case? Or has investigation eliminated him as being/possibly being any of those and/or no longer of interest to the investigation?
8. Is Holbrooke aware of the investigation? If so, how? Has he been told his connection, if known, to the case, e.g., subject suspect, etc.?
9. Has he been, or is he going to be, interviewed?
10. Has he been, or is he going to be, polygraphed ? If he has been, what questions were asked, what were his responses, and what are the results of the polygraph?
11. Has the matter been discussed with the DOJ and or USA, or is it going to be? If it has, what offices and who is the point of contact (including telephone #) in them regarding the investigation?
12. What is the anticipated date (time frame) of completion?
13. In providing responses to the above questions what part, if any, is classified, and at what level?
14. If the investigation has not eliminated, but eventually does eliminate, Holbrooke as a subject/suspect/target, promptly advise the SIGBIU, ASD, 4-2568, Room 4371. Points of contact = Unit SPSS or SPSS

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~~SECRET~~



U.S. Department of Justice

Federal Bureau of Investigation

~~SECRET~~

Office of the General Counsel

Washington, D.C. 20535

March 12, 1999

~~SECRET~~

MEMORANDUM FOR THE DEPUTY ATTORNEY GENERAL

FROM: General Counsel, FBI *Randy L. Berlin*

SUBJECT: FORWARDING MATTER OF SUPPLEMENT TO LIMITED INQUIRY ON PROSPECTIVE PRESIDENTIAL APPOINTEE (RICHARD CHARLES ALBERT HOLBROOKE) WHICH HAS REVEALED AN ONGOING INVESTIGATION (S)(u);

PURPOSE: To obtain the Deputy Attorney General's determination of what information should be communicated to the White House Counsel's Office in response to a limited inquiry request on the above-captioned prospective presidential appointee which has revealed an ongoing investigation. (S)(u)

TIMETABLE: Immediate. (U)

DISCUSSION:

The FBI supplied a summary memorandum to the White House Counsel's Office on February 18, 1999, in response to that office's request for a limited inquiry on this subject. Following dissemination of that memorandum to the White House, the FBIHQ unit responsible for background investigations was informed of a recently opened investigation involving the prospective appointee who was at one time the focus of an ongoing [Unauthorized Disclosure of Classified Information] investigation.

(U)

DECLASSIFIED BY uc/baw 60324
ON 10-12-2011

Classified by: G-3
Reason: 1.5(c)
Declassify on: X-1

~~SECRET~~

~~SECRET~~

~~SECRET~~

Memorandum for the Deputy Attorney General

Re: Forwarding Matter of Supplement to Limited Inquiry on
Prospective Presidential Appointee (Richard Charles
Albert Holbrooke) Which Has Revealed An Ongoing
Investigation (S)

After consulting with the responsible FBIHQ substantive unit to determine what information could be disseminated without harm to the investigation, we have prepared a proposed response apprising the White House Counsel's Office of the matter. The Attorney General has been briefed on this matter by FBI Executive Management. [redacted] Acting Chief, Internal Security Section, Criminal Division, Department of Justice is directing the investigation. [redacted] telephone number is [redacted]
(U)

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b7C

RECOMMENDATION: That you approve dissemination by the FBI to the White House of the information contained in the attachment hereto. (U)

APPROVE

E. A. Tamm

DISAPPROVE

OTHER

Enclosure

~~SECRET~~

~~SECRET~~



~~SECRET~~

U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535-0001

MAR 16 1999

RICHARD CHARLES ALBERT HOLBROOKE

(U) The information in this summary memorandum supplements the information provided to your office in the summary memorandum dated February 18, 1999.

(U) On February 1, 1999, the FBI initiated an Unauthorized Disclosure of Classified Information investigation upon being advised by other government agencies that information classified at the "~~Secret/Top Secret~~" level had been compromised in a newspaper article which appeared in the January 28, 1999, edition of the Washington Post, entitled "Serbs Tried To Cover Up Massacre." The FBI was advised that the source of the unauthorized disclosure of the classified information was Mr. Holbrooke. The information was specific, but the sources were (U) removed from the person with the first hand knowledge. (S)

(U) On March 1, 1999, Mr. Holbrooke was interviewed by the FBI and was asked directly if he was responsible for the unauthorized disclosure of classified information. Mr. Holbrooke denied being the source of the unauthorized disclosure. He was not advised of the source of the information.

(U) Based on interviews conducted by the FBI, including the interview of Mr. Holbrooke on March 1, 1999, it was determined that the information implicating him as the source of the information was inaccurate in important aspects. Mr. Holbrooke is no longer the focus of this ongoing investigation. It is not known when the investigation will be completed.

(U) No additional information can be provided at this time.

DECLASSIFIED BY uc/baw 60324
ON 10-12-2011

~~ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED EXCEPT
WHERE SHOWN OTHERWISE.~~

Derived from: ~~FBI communication dated~~
3/12/99
Declassify on: X1

MWS:mws

~~SECRET~~

9/29/99
CLASSIFIED BY: SP5 JCL/AAC
REASON: 1.5 (e)
DECLASSIFY ON: X1
445901

~~SECRET~~

~~SECRET~~

Richard Charles Albert Holbrooke

(U) EXTREME CAUTION SHOULD BE EXERCISED IN DISCUSSING THIS MATTER AS ANY DISCLOSURE OF THE DETAILS COULD JEOPARDIZE THE INVESTIGATION.

(U) Dissemination of the information disclosed in this summary memorandum has been cleared by the Office of the Deputy Attorney General.

~~SECRET~~

FEDERAL BUREAU OF INVESTIGATION
FOIPA
DELETED PAGE INFORMATION SHEET

No Duplication Fees are charged for Deleted Page Information Sheet(s).

Total Deleted Page(s) ~ 126

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(File No.) 161A-HQ-1256328

[illegible]



U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535-0001

FEB 18 1999

BY COURTER

Honorable Charles F. C. Ruff
Counsel to the President
The White House
Washington, D.C.

Dear Mr. Ruff:

Based on a request received from your office dated February 10, 1999, a limited inquiry has been conducted concerning Mr. Richard Charles Albert Holbrooke. Enclosed is a summary memorandum containing the results of this limited inquiry.

Also enclosed is a copy of your February 10, 1999, request.

During the course of the limited inquiry, information was disclosed indicating that the [redacted]

This completes our limited inquiry. Should you have any questions regarding this matter, please contact Supervisory Personnel Security Specialist [redacted] or myself, [redacted] telephone number [redacted].

Sincerely yours,

JB/pn
James A. Bourke
Chief
Special Inquiry and General
Background Investigations Unit

BULKY ENCLOSURE

Dep. Dir. _____
Chief of _____
Staff _____
Off. of Gen. _____
Counsel _____
Asst. Dir. _____
Crim. Inv. _____
CIS _____
Fin. & _____
Info. Sys. _____
Insp. _____
Lab. _____
National Sec. _____
Personnel _____
Training _____
Off. of EO/AA _____
Off. of Public _____
Adm. Serv. _____
Director's Office _____

Enclosures (5)

MWS: [signature]

CLOSED

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

HOLBROOKE INTERVIEW

b7C Per DOS

SA [] This is Tuesday, July 14th, 1998. We are in the office of []
[] Present today, and its approximately
12:33 hrs is Mr. Richard HOLBROOKE along with his lawyer [] I
am Special Agent [] with the Office of Inspector General at the Department of
State along with Special Agent []

HOLBROOKE's lawyer is recording the interview as well.

First thing we'll do here this afternoon is to go over the warnings and assurances form.

Its titled Noncustodial Warnings and Assurances Statement Usable in a Criminal
Proceeding.

Here you are sir. (SA [] handed the form to MR. HOLBROOKE)

MR. HOLBROOKE, just in starting I just want to get a little information. During what
time frame were you Ambassador to Germany?

MR. HOLBROOKE: September of 93 to September of 94. I can't remember the
exact dates.

SA [] What was your personal office phone number?

MR. HOLBROOKE: I have no idea.



That's because you don't call yourself.

MR. HOLBROOKE: The switchboard number was 4 -- the country code was 49 -- the city code was 228 -- and the switchboard was 3391. But I don't remember the office or residence numbers.

SA  And the time frame you were Assistant Secretary of State for European and Canadian Affairs?

MR. HOLBROOKE: September 94 to February 97. [Inaudible]

SA  And again, your personal office phone number?

MR. HOLBROOKE: 647 

SA  Your current status, as far as employment status with the State Department, you're a special government employee?

MR. HOLBROOKE: Yes. Special Presidential Emissary for Cyprus. And I provide occasional assistance on Bosnia.

SA [] And that is an unpaid position? What grade is that?

[] It doesn't have any grade.

MR. HOLBROOKE: [] is my predecessor. [Laughter] In all positions [Inaudible] ... speed. It's one of these things where you serve a certain number of days a year as a part-time person, and then [Inaudible].

SA [] What we'll be speaking about today is, as we discussed on the phone, there appeared to be a failure to list an item, that being a gift, on your financial disclosure report. And that's what's in question here. It has to do with a gift received from []

[] We're speaking of the late Larry LAWRENCE and [] If you could start just kind of tell me about your relationship with [] How and when did it develop?

MR. HOLBROOKE: I first met Larry and [] in July 1993. We were both going through the nomination process for ambassadors to Germany and Switzerland.

SA [] You never met him before and you knew nothing about him?

MR. HOLBROOKE: I kind of heard his name, but he was from California and I was from New York. And he was going to Switzerland and I was going to Germany. The office, its the same office, in the State Department; Germany, Austria, and Switzerland, are the same office, so the same people were handling us. And he was the subject from the beginning of a tremendous attack on his integrity and his qualifications for the job. We'll get to the end of the story in due course, which we're all familiar with. The American Foreign Service Association had chosen him as the person they would attack for contributing [inaudible]. I thought this was unfair because there are many other political contributors. Switzerland is, let's be honest, a very monied place. And he wanted to serve. And he seemed to me, being a business man, our relations with Switzerland are not strategic, it seemed to me to make perfect sense. When I realized that the Bureau was not supporting the LAWRENCE nomination enthusiastically -- they were very supportive to me -- I said to the person in charge at the office, David [inaudible], who later became my [inaudible] and now works for Stu EIZENSTADT. I said to [inaudible] that I felt the Department ought to get behind LAWRENCE because LAWRENCE was a reasonable candidate -- and I never said this to LAWRENCE -- but for a second year close. They were very grateful to me when they had found out I had done it. And LAWRENCE and I became friends. We went [inaudible] in the countries. I invited him [] up to Bonn to see how an embassy was run. I worked with him on doing something in Switzerland similar to what I had done in Germany, which was to

create a business information center to support American business. LAWRENCE was good at that, and so we became friends. And that was the initial phase of our relationship. Now you want to proceed with your questioning?

SA Yes. Did you at anytime live in the D.C. home of Larry LAWRENCE?

MR. HOLBROOKE: I did indeed.

b7C Per DOS

SA When?

MR. HOLBROOKE: This was no secret, it was well known. What happened is this. I was in Germany for only about seven months or eight months when the President and Secretary of State asked me to return on an emergency basis to Washington to take over the European bureau because, frankly, the European bureau was in a mess and there were many issues, but one, above all, Bosnia, was in a particular mess. I didn't really want to return. I loved the job in Germany, I was having a good time. I'd been an Assistant Secretary of State in the CARTER administration, and Bosnia was a lose-lose proposition. But when the President ask you personally, you have to do it. So I came back, and, at that time I owned a house at 1215 29th Street in Georgetown which was rented and which was in a shambles. I had not lived [inaudible]. Have you ever seen our house?

SA [] No.

MR. HOLBROOKE: It has been lived in by []

[] It was a mess.

SA [] Can you hold on one moment, sir. (SA [] made adjustment to tape recorder)

MR. HOLBROOKE: Now, an important point about all this. By this time I was engaged to be married to a woman who lived in New York. []

[]

[] I told her that I would, that

I had to accept this job but I would stay in it no more than a year. I also told this to the Secretary of State and to the President and to other people in the Department. I meanwhile put the house in Washington up for sale. I couldn't rehabilitate it and refurnish it. It was just beyond my financial reach, and even more than financial reach, on the day I started the job Bosnia was exploding. It went down hill steadily from September of 94 to the time that the negotiations began.

[] That house was also rented too.

MR. HOLBROOKE: The house was rented and then it was vacated and the bottom was rented, in fact it was rented to [redacted] and it was a shambles and so I put it up for sale and left it unfurnished. At that point I didn't know where to stay. And [redacted] [redacted] said "Look, we got this empty house, fully staffed at 35th Street and it's a four-story house, and you're welcome to use a room in it. Take a room." And I said "Fine." And I called up [redacted] and I said [redacted] I have no professional financial arrangements with [redacted] one way or the other. I'm incredibly careful about conflicts of interest. I'm well aware of all this stuff. We work together. It's a purely social thing." And [redacted] said something like "How long you gonna stay?" and I said "Well, I'm gonna be out of here in a year or less" and he said "Well its O.K." And the room is very small. You can visit it if you haven't already. I don't know if you've been over to the house already, but you can visit the room. It's the upper, when you go up to the top story its the first room at the head of the landing. Its got its own bath with a lousy kind of shower. Its a small room.

[redacted] Too much?

MR. HOLBROOKE: I want them to have everything.

[redacted] We want to finish today, with all due respect.

MR. HOLBROOKE: Hey, I'm remembering how small this room is. But I want to make it ...

SA It's a big house though.

MR. HOLBROOKE: Very big. Yes, very big house.

SA Was anyone else living in the house at the time?

MR. HOLBROOKE: The housekeepers. It was a fully staffed house. The room, I do want to explain this point. The room was about 15 by 20 and had its own bath. That was it. So I used that room. came back and forth from time to time and when they were there, I would leave and get out of their way. And then the eleven or twelve months stretched on to seventeen months.

(SA ADJUSTED TAPE RECORDER)

SA So it turned out to be how long?

MR. HOLBROOKE: Seventeen months. Instead of the original year. Oh, by the way, its very important to note that during these seventeen months I was out of the city an enormous percent of the time. I would hate to give you an exact figure, but it was very

significant and I never was in the city for more than about ten or fifteen straight days. Even that was rare. It was a tremendously high-pressured job. I could not have done the job had I had to, as a bachelor, because my wife was here (N.Y.), I could not have done the job if it were not for [redacted] generosity. And I will state that flat out without any hesitation. And there was no secret about my staying.

[redacted] Does this relate to whether or not this is reported?

SA [redacted] Yes. We're leading up to. Yes.

[redacted] And it was not recorded on his form?

SA [redacted] Correct.

[redacted] And it should have been reported as ...

SA [redacted] We'll get to that part. I just want to clarify, so you did not pay rent?

MR. HOLBROOKE: Did not pay rent. I offered to, but they said "No. It's a small room. Doesn't matter to us." And I didn't pay rent.

SA [] So there was already a house full of staff. So utilities and what not were, is that correct, being paid by []

MR. HOLBROOKE: Totally.

SA [] What about the phone?

MR. HOLBROOKE: Phone? I don't remember. I honestly don't remember whether I, I know that I asked to reimburse them for all phone calls. What I don't know [] is whether we did that on a regular basis or not. But I can check easily enough if its important to you.

SA [] Just to clarify, how did [] come to know your situation to offer the house?

MR. HOLBROOKE: Everybody knew it. I mean he was -- LAWRENCE visited me in Bonn, was he up there the weekend you were up there?

[] Yes.

MR. HOLBROOKE: Yeah, you remember. In fact, that's, I think, when it came up.

[] I happened to be there the weekend in Bonn.

MR. HOLBROOKE: This was my last weekend in Germany. We threw a party. []
[] were planning to come over anyway [] came up and
during the course of discussions they asked "Where are you going to live?" I said "I
don't know, I probably have to rent a hotel room, or whatever. Stay with friends. []
[] said I could stay with [] but it was a very crowded situation with
the kids. And so they said "We got this empty house." So not knowing we'd ever meet
in this office, but knowing it was an issue, I called [] Although there's no memo
on it.

SA [] He told you that there were no concerns?

MR. HOLBROOKE: He said it sounds O.K. to [] Now neither [] nor I knew that
it would stretch on into seventeen months. That was ...

SA [] Did you go back, after it did go beyond what you thought and recheck or
anything with []

MR. HOLBROOKE: No. At that time, if I could be absolutely honest with you, we
were fighting for our lives to stop the war. Nothing I have ever done, except maybe this

discussion, has been more difficult. At that point, I remember thinking to myself, "Thank God, that I have a place to leave my clothes."

SA [] Did you believe that you received a gift from [] by staying in their home rent free? Did you consider that a gift?

MR. HOLBROOKE: I'm not sure I understand the question. I don't. If it is [inaudible]. I'm an existentialist. They offered me a room in their house. That is a room in the house. Is it a gift? Like a box of chocolates? I don't know, I'd leave that to other people. I knew what it was. They knew what it was. And everyone else knew. The President and Mrs. CLINTON came over the house one day when I was overseas and the [] showed them the room and I remember the President and Mrs. CLINTON mentioning to me later "Oh, we saw the room you're staying in." Now that doesn't involve anything on their part in knowledge about any of these other issues, but they knew I was there. Everyone knew I was there.

SA [] Did you use the rest of the house? I'm assuming it had a pool.

MR. HOLBROOKE: It did not have a pool.

SA [] Did you make use of the rest of the house? Did you cook there?

MR. HOLBROOKE: No. I never cooked a meal there. I...

SA

Did the staff cook meals, prepare meals for you?

MR. HOLBROOKE: Breakfast occasionally. No dinners that I can remember ever except food that I might have bought down the street and brought in on a weekend. But almost was never there on a weekend. I could reconstruct my whole travel schedule with some degree of error. I mean I wouldn't, I wouldn't, I wouldn't want you to hold me to every, every minute of it. But I could come within a eighty percent accuracy of when I was there. I never entertained there that I can remember, but once in a while [inaudible] came over to have discussions and once in a while she brought over papers. And, of course, if I came in from Andrews on a military jet, or something, and I was being given port to portal service, I never used, I never went from there to the Department because that's not allowed. But if I was coming in they'd drop me off there. Everyone was. But, I want to stress that point because there was no attempt to conceal this.

SA

Sure. Did you perform or promise to perform any favors for

in return for staying at their house?

MR. HOLBROOKE: If this weren't so serious I'd have an answer but, I can't kid around with these guys.

SA We have to ask the questions.

MR. HOLBROOKE: No, I understand this but, when the tape recorder's off I'll tell you my joke answer.

SA O.K.

MR. HOLBROOKE: Um, the answer is a categorical no.

SA As Assistant Secretary of State, do you happen to know, was your salary larger than that of Ambassador Lawrence?

MR. HOLBROOKE: I don't know and I'll tell you why I don't know. There are four classes of ambassadors and I don't know what class he was and I don't know what my salary was as Assistant Secretary. The only thing I know is it went down from being Ambassador to Germany.

SA I noticed that (laughter). I was surprised

MR. HOLBROOKE: Believe me , I didn't want to come back but, life has its funny bounces. And, in the terms of [inaudible] I had no idea what LAWRENCE's salary was. He was a wealthy.....

SA [] For clarification, no one else other than staff was living in the house during the time you lived there aside from [] occasionally coming back?

MR. HOLBROOKE: No, they had relatives and friends stay occasionally. But, I would try not to absent myself also. But they stayed in the major guest bedrooms on the lower floor which I was not in. And my fiancée, now wife, occasionally visited me.

SA [] Why did you not list living in [] house on your financial disclosure report?

MR. HOLBROOKE: I was not even aware that I listed [inaudible]. This stuff was prepared for me in the most extreme pressure and I'll have to, I'll have to defer to [inaudible]. I'm not aware that it was required if I didn't list it and I'm not aware that I didn't list it. This was all prepared for me by an accountant in New York.

SA [] These are, I'm going to present to you financial disclosure reports with your signature and date, June 24, '94; May 16, '95; June 4, '96.....

MR. HOLBROOKE: If this is only in reference to the house...

SA [] July 24, '97.

MR. HOLBROOKE: This one wouldn't apply.

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SA Right

MR. HOLBROOKE: Can I take this for one minute? And just, I'll be right back.

Would you excuse me if I just take this urgent call from Washington?

SA We're gonna turn off the recorder now so Ambassador HOLBROOKE can take a call.

SA O.K. the recorder's back on. Mr. HOLBROOKE's back from his phone call. It's 1:09, 13:09 hours. O.K., we were discussing your financial disclosure reports.

I've just presented those to you and believe I was asking why you did not list living in

house on your financial disclosure report.

MR. HOLBROOKE: Oh, I don't know the answer to that question. I don't know whether I didn't because I didn't think it was necessary or because it was omitted my accountant or, or what. I don't know it's not clear to me that it's... what is your view on this?

[REDACTED]
required.

Well, there's a legal interpretation here as to whether or not it's

SA [REDACTED] Actually I guess, what's important here is, is maybe what was in your mind when the form, when you signed the form, versus what your attorney would now advise, you understand what I'm saying?

MR. HOLBROOKE: Let's see what they, let's see. My first form is dated August 25th, 1994. I'm not at [REDACTED] house, right?

SA [REDACTED] Right.

[REDACTED]
Well, this is 9/23.

MR. HOLBROOKE: That's, that's the Germany.

[REDACTED] Right. This is the Germany one.

MR. HOLBROOKE: That's, that's unrelated, right? Right? Is that correct?

SA [REDACTED] Yes.

MR. HOLBROOKE: The second form is also unrelated because I'm not at [redacted] house. This is a form filled out in Germany. The third form is my departure form when I'm retiring seventeen months later. The date of it is Where's the date? That's the date of the reviewing officer. O.K. I signed it on June 4, 1996. Um, I can't answer your question [redacted] I mean I don't, all I know is that it says here, this phrase, "provided personal hospitality at the donor's residence" and that's exempted. "But, exclude anything given to you or provided as personal hospitality at donor's residence." But, I can't answer your question as to why it isn't in there because I didn't fill out this form, I only signed it, after I left the government.

SA [redacted] Who filled the form out for you?

MR. HOLBROOKE: [redacted] who was the assistant to my then accountant. And my accountant was... Can I write on here?

SA [redacted] Sure.

MR. HOLBROOKE: My accountant was named [redacted] I've switched accountants. I've now switched to my wife's, accountant. Do you know [redacted]

[redacted]: Yeah, I do.

SA ☐ Did you review the form prior to signing it?

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MR. HOLBROOKE: I, I skimmed it, yeah. But, did I review it carefully? No.

SA ☐ Did you ever consider, so in your mind you never considered living there rent free as a gift?

MR. HOLBROOKE: I don't ☐ I don't know how to answer that. I mean, I was there rent-free. Everybody knew it. If I felt I had clear authority to do so, and I didn't, it didn't occur to me that it was required on this form, or, alternatively, it was prepared by other people and I didn't check it. I, one thing I know is, I didn't go through these forms line-by-line at the time and, and look at Eastman-Kodak, Fannie Mae, and Disney Company, and stuff like this. This form, by the way, included my wife's assets for the first time, so it was incredibly complicated.

SA ☐ Were you ever given any gifts by ☐

MR. HOLBROOKE: A wedding gift, I think. They gave us a photograph of us that they'd taken, once. I think they gave us a bowl or, or candlesticks or something for the wedding.

SA ☐ For the wedding?

MR. HOLBROOKE: I think so, yeah. They didn't come to the wedding.

SA [] Were you, involved in any way in []?

MR. HOLBROOKE: []

SA [] apologize, in []
[] either by way of recommendation....

MR. HOLBROOKE: No. No. I don't know, to tell you the truth I don't even know what it was. [] was very proud of it, I never knew what it was and I never thought it was a good idea. It was a terrible idea. That's just a personal opinion. And, but, I had nothing to do with it. It preceded my knowing that or it was done out of my radar screen.

SA [] May I ask why you thought it was a bad idea?

MR. HOLBROOKE: Because I thought that it just, that []
[]
[] But, I don't, you know it wasn't a big deal.

SA [] Did you ever, do anything in your official capacity as Assistant... We'll pause for a moment so [] can change the, tape. O.K., the tape recorder's back on after [] turned the tape over in [] recorder. I was asking if you, in your official capacity as Assistant Secretary of State for European and Canadian Affairs, ever did anything for []

MR. HOLBROOKE: You gotta be more specific on that question. Of course I did things for [] They were, I had overall responsibility for fifty-one missions. Actually ninety-three missions, fifty-one overseas. And they were one of them -- a very minor one. But, so you have to be specific.

SA [] Did [] receive any special treatment or favoritism if you will in your official, in carrying out your official duties because of your friendship with them?

MR. HOLBROOKE: Categorically not. []

[]

[] And you guys all know that because I've been questioned about several other people you've investigated. Maybe not the two of you but, I really fight for [inaudible] and [inaudible]. But never did anything special for Larry LAWRENCE.

SA [] Let me refer...

MR. HOLBROOKE: In fact he often complained to me, as did many other ambassadors, that he was getting quote "screwed by Washington" unquote. They complained, which I think we've heard from almost every ambassador and I never did nothing special for him.

SA [] I understand when he became ambassador, I guess early on he requested a special assistant position be filled and was told by the Bureau that his position did not justify a special assistant. But somehow he ultimately did, did get one. Did you have any part to play in that?

MR. HOLBROOKE: I was in Germany.

SA [] You were in Germany at that point?

MR. HOLBROOKE: Yeah, I heard the whole story. []

[] You know that? Oh, no, that's an incredible story. I watched that whole thing in astonishment. But [] has been [inaudible].

SA You were interviewed as part of a Diplomatic Security investigation, Diplomatic Security of course being separate and distinct from OIG. In one of their investigations in December of '97, they interviewed you relative to the waiver, determining the basis for the Department's waiver for Ambassador LAWRENCE to be buried in Arlington Cemetery. During that interview you told the DS agents that you had developed this friendship with Ambassador LAWRENCE and that after becoming Assistant Secretary of State for EUR during the next seventeen months, you gave LAWRENCE considerable attention while serving as assistant secretary because LAWRENCE was setting up several new projects that were interesting and because you liked him.

MR. HOLBROOKE: I've referred to the project earlier. That's the combined, that's the business support center in Geneva, which he set up in imitation of the ones that I had set up in Frankfurt, Dusseldorf, Berlin, Hamburg, and Munich. And our goal, our instruction from the President was to support American business and most American ambassadors don't do this well. Larry LAWRENCE was a businessman, its the core of our relationship with Switzerland and I encouraged him both as a friend, when I was in Bonn, and then when I was in the EUR to pursue his Geneva project. And I even visited it on one of my trips to Switzerland. I was going to Geneva and I went and spent about an hour there. I thought it was a good project. And I not only encouraged him, [inaudible] but I encouraged every ambassador, [inaudible] in Vienna, HARRIMAN in Paris, Admiral CROWE in London; all the embassies that I could reach I want us to do

the same thing. Some did it, some didn't. LAWRENCE was one of the ones who did this best.

SA What actions did you take, if any, on behalf of Mr. LAWRENCE gaining a waiver in order to be buried in Arlington Cemetery?

MR. HOLBROOKE: Well I think that's very well established already in previous interviews. But just to recapitulate, I signed a memo prepared for me in a routine manner by EUR/EX to Pat KENNEDY, asking KENNEDY to ask for the waiver on the grounds of two things, one of which turned out not to be true -- that he died as a sitting ambassador, which I was led to believe justified a waiver, but didn't make it automatic; and, on the basis of the fact that he was a wounded Merchant Marine veteran. The detail in that memo was all supplied by his official biography which had been vetted by the State Department, the White House, and the Senate Foreign Relations Committee; and which indeed he had testified about during the Senate Foreign Relations Committee hearings and the memo, I don't remember the exact date of the memo, but my memory is that it was late in January of 96. If you look at the calendar of January 96, you'll see that we were in the process of trying to get the Dayton agreements implemented and my amount of time I spent on that thing was about as long as it takes to initial. But I did initial it and I would have done it again, assuming the biography is correct.

SA I understand that you spoke with Ambassador LAWRENCE shortly before he died?

MR. HOLBROOKE: Yes -- but not after. I talked to him less than a week before he died. He was in the hospital.

SA At any time did he give you reason to question or to believe that his alleged Merchant Marine service was a fabrication?

MR. HOLBROOKE: No. He described floating around in the water.

SA Were you aware that Ambassador LAWRENCE had substantial holdings with Credit Suisse First Boston?

MR. HOLBROOKE: No, this is the first time I've ever heard of it. Very first time I heard of it. I knew nothing about his financial holdings except that he owned the hotel -- Coranado.

SA Which brings me back to a question I skipped over. Did you ever stay at any other properties owned by including the hotel Del Coranado?

MR. HOLBROOKE: Yes. I stayed at his house, I never stayed at the hotel Del, I did stay at his residence about a mile away, in San Diego, for about three or four days in August of 1995, with my wife, as his guests. The same house actually that the President and Mrs. CLINTON had stayed in several times. That was we were in California on a vacation. We had just gotten married [inaudible].

SA ☐ Any other times?

MR. HOLBROOKE: After he died, I was asked to speak at his funeral, but I did not stay overnight. I just flew out, spoke, and then returned immediately to the east coast. I never stayed in the hotel [inaudible].

SA ☐ Did Mr. LAWRENCE have anything to do with your securing a position with Credit Suisse First Boston in terms of making a recommendation on your behalf, or in any other way?

MR. HOLBROOKE: Absolutely not. There were four people involved in my hiring. I can give you all their names. They've never heard of Larry LAWRENCE. This is the first time [inaudible].

SA ☐ Did you go any place between State Department and Credit Suisse First Boston? Had you gone any other location?

MR. HOLBROOKE: I started work for Credit Suisse February 22nd, 1996, the day after my departure date [inaudible].

SA If I'm correct, you came to the Department from Shearson Lehman?

MR. HOLBROOKE: Yeah, I think it had changed its name to Lehman Brothers. It changes it's name regularly. It's the same firm.

SA And how long were you with Lehman Brothers/Sherson Lehman?

MR. HOLBROOKE: I began as a consultant there in the spring of 1981, became a full-time managing director in 1985, and remained with them until September of 93. Then I went to Germany. So two phases, a consultant and then a full-time managing director.

SA While you at work there at Sherson Lehman/Lehman Brothers, did you have any contacts with Credit Suisse First Boston?

MR. HOLBROOKE: No.

SA And forgive me if I'm not technically correct in, I know Credit Suisse...

MR. HOLBROOKE: Credit Suisse was First Boston at that time.

SA O.K., did you have contacts at First Boston, I don't know, in the financial world I'm sure there's a network of...

MR. HOLBROOKE: [Inaudible]

[Inaudible]

SA You had no contacts at Credit Suisse or First Boston?

MR. HOLBROOKE: No. Although point is an important one because given where this set of questions are going, its important to note that Credit Suisse First Boston were then two separate organizations. But in any case, I never even knew anyone from First Boston.

SA Or Credit Suisse?

MR. HOLBROOKE: They were two different firms then, weren't they? (Holbrooke asking)

[redacted] Yeah.

S [redacted] Did you approach Credit Suisse First Boston with the possibility of going to work for them or did they approach you?

MR. HOLBROOKE: Neither. I was, I knew I had to leave. I told you earlier because of my family situation, and under the rules, you cannot, when you leave to go back in the government, for example right now, I can't discuss with CS the possibility of ever returning. That would be a clear violation. That was the same with Lehman Brothers when I left them. They had said to me "We want you to come back." I said "I can't discuss it, don't say it, stop, I won't discuss it." And then, when I knew I was leaving, directly through [redacted] and a few other friends the word got around. I had been very public [inaudible]. Then one day a mutual friend of mine called me up and said "Have you thought about First Boston?" I said "I don't know anything about First Boston." [redacted] said "Well, you otta look at it. Its a good firm, you otta think about it." I think I checked with [inaudible]. And so a [redacted] named [redacted] whose now [inaudible] called me up and said let's have dinner. That was the connection.

SA [redacted] When was this?

MR. HOLBROOKE: The first contact with [redacted] took place in sometime the summer of 1995. Before the Bosnia negotiations began, at a point when my wife and I had

decided that I would leave the government in September, which relates back to the point of seventeen months. And we were ready to go. Then the negotiations began. So I called [redacted] up and I said "I can't talk to you now. I've got to delay my departure." [redacted] said "When are you gonna leave?" I said "I don't know. [Inaudible] Just watch the papers." After Dayton, they contacted me again and said "Are you still interested?" I said "Yes. But I really can't talk to you until the dates established." They said "Well, we'd really like to have you." I said "Fine. We'll talk about it at the right time." I then called up [redacted] and said [redacted] you negotiate the deal, anyway you want it, arms length, with them. If it's not good we'll go somewhere else, but this looks like the best firm, but keep me out of it." And for the record, I did the same thing on the book deal. I just want that clear. I was extremely careful on this.

SA [redacted] We're not going into the book deal.

MR. HOLBROOKE: No. But the reason [redacted] I want to stress something here because I have no problem with your questions, I'm here to clear it up. But I want to stress a core point. I've been in the government on and off for 36 years. This is the first time anyone's ever questioned my integrity. Its a very serious issue [inaudible]. I've bent over backwards for 36 years, and that's why [inaudible]. I just want to make the point [inaudible]. This is what public service is all about. And I admire you [redacted] for doing what you're doing [inaudible]. And that's why I mentioned the book here too, because the day I left the government, I [inaudible] and then a few days later [inaudible]

extremely careful. [Inaudible] Oh, and one other thing, every firm that approached me for employment possibilities post-government, we disclosed to [REDACTED] Remember?

[REDACTED] Yeah.

MR. HOLBROOKE: And we recused. So there is a letter in the files recusing me from each firm I had contact with. That was Lehman Brothers, Credit Suisse First Boston, Merrill Lynch for sure, maybe Morgan Stanley; anyway, there in the list. There's a full disclosure. And each time that happened, I recused. Boom, out. And that is in writing.

SA [REDACTED] So the first time you had contact with anyone from Credit Suisse was

MR. HOLBROOKE: Summer of 95.

SA [REDACTED] And that was a dinner with [REDACTED]

MR. HOLBROOKE: [REDACTED]

SA [REDACTED]

MR. HOLBROOKE:

NOTE: SA [] handed MR. HOLBROOKE a stack of papers about Credit Suisse First Boston that SA [] printed off of the Internet.

MR. HOLBROOKE: My current chain of command is this [] (Mr. HOLBROOKE circled the name [] this [] (Mr. HOLBROOKE circled the name [] and []), these [] are not relevant.

SA [] There's probably a lot in here that's not relevant. There's an organizational chart.

MR. HOLBROOKE: This is all post-reorganization. The firm has been reorganized substantially since I joined it. What happened was that when I joined it, it had a different name and it was not wholly owned by Credit Suisse. Then they stepped up to the plate and bought the rest of the firm.

SA [] You mentioned that four people were involved in the negotiations for hiring you, who were those?

MR. HOLBROOKE: The two I circled [redacted]

SA [redacted] And that's [redacted]

MR. HOLBROOKE: [redacted]

SA [redacted]

MR. HOLBROOKE: [redacted]
[redacted]

SA [redacted] What conversations did you have with any of those [redacted] about
working with Credit Suisse?

MR. HOLBROOKE: I'm not sure I follow your question.

[redacted] [Inaudible]

MR. HOLBROOKE: I joined a firm called CS First Boston, which then changed its
name, which reorganized a year and a half later to Credit Suisse First Boston.

[redacted] They had already increased their interest [inaudible].

SA [] So you went to work for CS First Boston?

MR. HOLBROOKE: Which then reorganized into the current [inaudible].

SA [] So what conversations did you have with those [] in negotiations for your being hired?

MR. HOLBROOKE: I'm not sure I follow your question, I thought I answered it already.

SA [] You indicated that your lawyer [] did all the negotiating.

MR. HOLBROOKE: They [inaudible]. He said "I'd like you to see three other people, [] and [inaudible]." I saw all three of them. They all wanted me to work [inaudible]. Negotiations then started. But we never got to the job offer.

SA [] When did you see those three? Was it that same evening?

MR. HOLBROOKE: No. It was in the same time frame. I can probably reconstruct it if I had a calendar. But the key point is it preceded the Bosnia shuttle in Dayton. As

soon as the Bosnia shuttle began, which was roughly August of [inaudible], even before that, I called one of these guys, I don't remember which, but it was probably [redacted] and I said "Look, you read the papers, I'm going to be engaged in this thing. I can't discuss this with you anymore." [redacted] said "Well we're still interested. Come back to us when you can." At that point, three or four other firms were also talking to me. So it wasn't as though I had to make a deal with them. I then turned it over to [redacted] and then [redacted] negotiated the deal at a subsequent date. I [inaudible]. But all of this was done after Dayton. [Inaudible].

SA [redacted] You had never met [redacted]

MR. HOLBROOKE: I hadn't even heard of them. It was all through third party friends of mine. And Lehman Brothers was very interested [inaudible].

SA [redacted] At what point did you, when was the first time you spoke with, after you turned it over to

MR. HOLBROOKE: Talked to them again?

SA [redacted] Yes.

MR. HOLBROOKE: I have no idea. I just [inaudible]. It was sometime, probably, in the beginning of 96. [Inaudible] I have to check my files.

SA [] Do you know what the discussions would have been about?

MR. HOLBROOKE: Just saying, I've got to be clear here, as [] knows, right up to the end, other companies were talking to me. I was in Budapest for example, when [] of Goldman Sax called me and said "Why didn't you call Goldman and come see us. I hear you're leaving the government." I said "Well I didn't think Goldman would be interested." And he said "Well your wrong. Is it too late?" And I said well, you know, and so on. There was a constant thing. There was never any clear commitment to Credit Suisse First Boston, or CS First Boston, or First Boston, or whatever you want to call it. There's no clear commitment til [] had finished his negotiations which you know I can't date precisely, but they were right at the end.

SA [] Is there some documentation that would clarify when an acceptance or

[] Yeah, there's a letter of agreement [inaudible].

SA [] Could we get a copy of that?

SA [] Is the whole negotiation process pretty well documented? To what extent is it?

[] No. The only thing that's documented would be the discussions with Credit Suisse First Boston. [Inaudible]

MR. HOLBROOKE: [Inaudible]

[] The only one that would be documented was the one that we went forward with -- Credit Suisse First Boston.

MR. HOLBROOKE: The people I talked to about it, the people I trusted to know, unanimously felt that Credit Suisse was the best. (A woman came into the room and handed Mr. HOLBROOKE a card) Can you excuse me one minute?

SA [] Ambassador HOLBROOKE is breaking for a phone call at 1341 hours.

SA [] We're resuming at 1346 hours, approximately.

SA [] As Assistant Secretary of State for European and Canadian Affairs, did you at any time take any actions with regard to CS First Boston, Credit Suisse First Boston, Credit Suisse, or First Boston?

MR. HOLBROOKE: No.

SA I think I covered them all.

MR. HOLBROOKE: No.

SA You never intervened in any matter dealing with any of those named companies?

MR. HOLBROOKE: Not that I recall.

SA There's an allegation, if you will, that during the winter of 94/95, you contacted Embassy Budapest with regard to Credit Suisse First Boston or CS First Boston.

MR. HOLBROOKE: Um, yeah I have a vague memory of this.

SA What do you recall the nature of that was?

MR. HOLBROOKE: There was a issue involving something about whether or not Credit Suisse, or CS First Boston, or First Boston, was to get equal treatment under the

law or under the regulations with other American investment firms. And I told the Embassy in Budapest, after getting advisory from Commerce, that they should treat First Boston the same way they treat other American investment banks, that is without prejudice. That's my vague memory of this.

SA [] How did the situation even come to your attention?

MR. HOLBROOKE: Because [] contacted me [] contacted me. I had never met [] before.

SA [] Just to clarify [] was with First Boston? Or CS First Boston?

MR. HOLBROOKE: To tell you the truth, at that time, I don't know what the firm's name was. If you want me to guess, it was probably called CS First Boston at that time. But this was, when are you dating this event from? Because I have a vague memory of it.

SA [] Winter 94/95.

MR. HOLBROOKE: Yeah, it was probably CS First Boston.

SA [] What did this individual [] called you and stated

MR. HOLBROOKE: [] aid that First Boston was being discriminated against and was not receiving equal treatment with other investment banks, Goldman Sachs, Soloman Brothers, one of those.

SA [] I believe the other, I believe the only other, well the only American company, as it was told to us, competing for the contract was Merrill Lynch.

MR. HOLBROOKE: I don't even know what the contract was. I can't say what it was, but all I remember was they wanted to be treated equally. And they, I was told by the Commerce Department that that was a correct judgment, so I informed the Embassy in Budapest of that.

SA [] What mechanism did you use, how did you coordinate with the Commerce Department?

MR. HOLBROOKE: I don't remember. I either did it through a staff person or I did it directly.

SA [] Would there be any documentation of any of these conversations?

MR. HOLBROOKE: I doubt it. But there might be. There might be cables or something. I don't have any memory of this. This is a routine thing you know the Assistant Secretaries of State for the regions are constantly being bombarded by business people who say we want American government support. The rules are very clear, if one American company is competing alone against a series of foreign or Japanese companies, you support that company. If a number of American companies, let's say Ford versus GM, are competing, you create a level playing field, without taking favorites. Its a very clear rule. The President had instructed all of us to support American companies, so the issue was whether CS First Boston was to be treated as an American company or not. That was not a judgment that I could make. It was not for me to make. It was not even in my view then, and I think now was not even a State Department issue, it was a Commerce Department issue. And once I was officially informed that First Boston was considered an American bank even though a majority of it was then owned already by the Swiss, but not this 100 percent ownership you mentioned earlier (referring to [redacted]) [redacted] think that's an important distinction. Very important distinction. I contacted the Embassy in Budapest and said "Look, you are," I can't remember the details [redacted] because its a long time ago and this is like a couple of minutes of one short day. But I remember saying to the people involved, whether I said this directly or indirectly, we could face a situation where if we don't show equal treatment and show a preference for one bank over another, that they would have a case that we didn't fulfill our level playing field obligation. But you say Merrill Lynch. I have absolutely no

memory of whether it was Merrill or somebody else, or more than one. But I don't even remember what the transaction was to be truthful with you.

SA

Did you know this

MR. HOLBROOKE: Never met him before.

SA

He was an Under Secretary of Treasury?

MR. HOLBROOKE: Under REAGAN.

SA

Under REAGAN?

MR. HOLBROOKE:

Yeah

very well known.

SA

You had never met him?

TAPE 1 SIDE 1 ENDED - TAPE TURNED TO SIDE 2

[Inaudible]

MR. HOLBROOKE: Never met him before that day. I never met him before that day.

[redacted] What is relevant, and we can get the date for you. That may be relevant to your inquiry. First Boston, which is a U.S. firm, had a minority stockholder, which was Credit Suisse, for many years. I think they owned like 20% of it. A small amount for First Boston. And they had nothing to do with it for about a couple of years. Then at some point around, during the period that we're talking about, then Credit Suisse stepped up, as [redacted] said earlier, and became the majority stockholder to control the block, if you will, of First Boston. And then it became, irrespective of the name, but then it became a Credit Suisse First Boston operation. There was a period of time, and I think it was during these years, I think it was in the 90s, that it was still First Boston with Credit Suisse as the minority stockholder.

SA [redacted] I'll get the exact dates.

MR. HOLBROOKE: [redacted] is a, I don't work with [redacted] at all. He had nothing to do with my hiring and we work entirely different areas now. In fact we have almost a kind of an understanding that we don't double track each other because he [redacted]

[redacted]

SA [redacted] You are Vice Chairman of

MR. HOLBROOKE: I'm a Vice Chairman of Credit Suisse First Boston Corp. in New York. Its a title without any line responsibility. Its a title with, I have no administrative or management responsibilities whatsoever. Its really a title for status only. But to go back to [REDACTED] he came to see me that day and I remember clearly meeting him, because I had never met him before.

SA [REDACTED] He came to your office?

MR. HOLBROOKE: He came to the Department and then asked to see me and said it was urgent and somebody briefed me of the problem. I said "Look, he's a former Under Secretary of the Treasury, let's say hello to him." He made the case and I was informed, but I can't tell you by whom, during the process, that his assertion that First Boston was considered by Commerce an American company for purposes of an embassy support, was legitimate. And so we informed the embassy. I need to put this in context. This happened all the time. Companies would always come to us and ask us for support.

SA [REDACTED] Did you independently verify it, or did you basically take his word?

MR. HOLBROOKE: Oh no, I didn't take his word. I got some kind of authoritative ruling, either through [REDACTED] or directly from Commerce during the course of this event.

SA [REDACTED] Do you know if that ruling would have been in writing or a verbal?

MR. HOLBROOKE: I can't remember.

SA [REDACTED] Like I said, we came to you first so these are some of the things, you asked "What happens now?" We have to go and check out these things.

MR. HOLBROOKE: Sure. Absolutely. My guess is it was in writing. But I can't be sure, its just a guess. Again, I wanna stress that this is very routine and had nothing to do with my subsequent [inaudible].

SA [REDACTED] (SA [REDACTED], if you have anything now that you want to go back and ask or something while I catch-up here in my notes.

SA [REDACTED] I guess the only thing that I would mention is that [inaudible] dispute, and we haven't had a chance to check this out, you have to [inaudible] us as to whether or not Commerce had certified that Credit Suisse was an American corporation at that time. We've been told in the allegation, no, but then again we haven't had a chance to verify it.

MR. HOLBROOKE: Well I can assure you that I was told yes. I can't assure you by whom. There's no way, shape, or form, that I would have told Embassy Budapest to level the playing field on my own authority. I had never had a contact with First Boston, I'd never met [REDACTED]. The idea that I might end up there a year and a half later had never entered my mind. And I was just doing my job in an absolute routine manner. As I did for many others.

SA [REDACTED] Is it fair to say that prior to the individual coming to your office from First Boston, [REDACTED] you had never had any contact with CS First Boston.

MR. HOLBROOKE: Never met anybody from the firm and never met [REDACTED] before, and never saw him again until months after I had been hired at CS First Boston.

SA [REDACTED] He never contacted you after your meeting?

MR. HOLBROOKE: And he was not part of the hiring process, as far as I know. And I don't work for him and he doesn't work for me. Its sort of like that's his world -- this is mine.

SA [REDACTED] During that meeting did he even broach the subject with you that you should consider coming to CS First Boston?

MR. HOLBROOKE: God no. No. If you knew [redacted] you'd know that's not his style.

SA [redacted] None the less, you contacted Embassy Budapest. Who did you speak to?

MR. HOLBROOKE: Ambassador BLINKEN I believe.

SA [redacted] Did you also speak with the [redacted]

MR. HOLBROOKE: I can't remember to be truthful with you -- Its possible.

SA [redacted] But you're fairly certain you spoke with Ambassador BLINKEN?

MR. HOLBROOKE: Yeah. Fairly certain. The reason I can't, you know BLINKEN was a political appointee and sometimes when you're dealing with a political appointee you want to double it with a career guy, so I might of talked to [redacted] I don't remember [inaudible]. You know when I say I'm sure I talked to BLINKEN, its a long time ago. My memory is I talked to Donald BLINKEN and said "Listen, you are in danger of getting a grievance filed against this embassy for discriminating against one of a number of American competitors. And its very simple, just give them a level playing field.

SA [] Did you then send instructions on how they were to proceed in the matter?

MR. HOLBROOKE: I don't remember the details [] really truly don't.

SA [] Let me ask you this. Do you recall BLINKEN or [] or anyone you would have spoken to on the country team, informing you that they were advised by the Department of Commerce that this was not an American company?

MR. HOLBROOKE: I don't remember. I don't remember any of this. I just remember that I was told they were.

SA [] The allegation is that the embassy was advised by Commerce Department's Commercial Advocacy Center that in fact they made the determination that Credit Suisse First Boston was not American company and that you were informed of that fact and regardless of that instructed them to support CS First Boston on an equal manner as Merrill Lynch.

MR. HOLBROOKE: I have no memory of anything the [inaudible] Commercial Advocacy Section. I have a very vague memory, this is extremely vague, that somebody in the embassy said that they had been given contradictory information about whether Credit Suisse First Boston was or was not an American firm. But I was informed flatly, clearly, in Washington, not by [] because he obviously had bias, that they

were to be treated as an American firm. And on that basis I recommended that they go with the plan. And that was the end of it.

SA Well, we're told that most of this documentation still exist both at post and also at Commerce. So that's one of the leads that we'll have to pursue to clear up the matter.

MR. HOLBROOKE: Sure, I understand. But I reiterate again, this particular incident that you're referring to, the details which are very hazy in my mind, was categorically not linked to my subsequent employment. There's no linkage at all. There never was -- never could be. and I had not even talked to each other in over a year now. Not because we haven't [inaudible] but because we have nothing to do with each other in our lines of work now. And beyond that there just wasn't an aspect of my subsequent employment. And the final point I want to stress is I did this routinely for all American companies. So the issue is was it an American company? I was informed it was. I never heard of this Commercial Advocacy Division, as I recall.

SA Commercial Advocacy Center.

MR. HOLBROOKE: I've never even heard of it.

SA Department of Commerce.

MR. HOLBROOKE: Evidently based in Washington D.C.

SA [] Evidently the Department has a coordinator for business affairs.

MR. HOLBROOKE: Yeah, but did it then?

SA [] I don't know.

MR. HOLBROOKE: [] was not involved. I know who you mean, it was a [] who used to work, but I know [] was not involved.

SA [] You would have dealt directly, not directly, but you or someone on your staff would have dealt directly with Department of Commerce?

MR. HOLBROOKE: Yeah. But I have no memory of whether I contacted Commerce, they contacted me, or I was informed by somebody. But I don't [inaudible] dealing with that office. I'm familiar with the office.

SA [] Since working with Credit Suisse First Boston, have you been in a position to hear what kind of business is being done in Hungary?

MR. HOLBROOKE: Aha. I've got [inaudible].

SA [] And are you aware of this particular instance, this deal? Did CS First Boston actually get the deal?

MR. HOLBROOKE: I don't know. I really don't know. I don't remember what the deal was and I don't remember what the outcome was.

SA [] We were told it was a Hungarian government privatization deal.

MR. HOLBROOKE: I don't, well it could be almost anything. I don't remember which one it was, or [inaudible].

SA [] For what purpose did you go to Hungary as a representative of Credit Suisse First Boston?

MR. HOLBROOKE: [] so we try to get back there about once or twice a year. In fact, we were married in the backyard of the ambassador [inaudible]. So we looked for excuses to go back there, quite frankly.

SA [] Was that when BLINKEN was still there? Ambassador BLINKEN?

MR. HOLBROOKE: Yes, I'm just trying to think. The last time we were there, and what I do on these trips, I do not, permit me a brief explanation of how I function. I don't normally go in to solicit specific transactions. I go in to talk to people. And on a typical trip, I might see [REDACTED] or the Prime Minister. But I have not been involved in any specific transaction business in Hungary that I can remember. I've been there, let me see, I've been there about two, between two and three times since I left the government. I can remember two [inaudible].

SA [REDACTED] And did you have meetings with those government officials as a Credit Suisse First Boston representative?

MR. HOLBROOKE: You know, it's sort of a, kind of a definitional thing, that when they see me, they're seeing a person whose representing CSFB, but do they also know from my government experience?

SA [REDACTED] I guess, what were the purpose for the meetings?

MR. HOLBROOKE: Let me put it this way. I've had no representation of the U.S. government in Hungary since the day I left government; unlike say Bosnia, Cyprus, Kosovo. And I have had a very strict rule, which I really want to record here. In the two plus years since I left the government, in areas where I had a residual government responsibility, I did nothing whatsoever, I did not even discuss issues with clients

[inaudible]. But in Hungary, I had no government responsibilities, so when I called these guys we chatted. We have an office in Budapest [inaudible]. But it wasn't transaction business if you follow what I mean, sometimes you go trips for a specific deal. That is not what I did.

SA Right. But you were there as a representative of Credit Suisse First Boston.

MR. HOLBROOKE: Right.

SA Did the Ambassador ever accompany you on these visits with the host country officials and attend any of these meetings with you?

MR. HOLBROOKE: The only one he ever attended was a meeting with Prime Minister HORN.

SA Are we still speaking of Ambassador BLINKEN?

MR. HOLBROOKE: Right. HORN. He asked to accompany the meeting with HORN, because it was understood in the past that we would not discuss business, and we didn't take the local rep from the CSFB office. And we went in there and we talked about old times, NATO, Bosnia, and so on. And he asked to do that; it was his request. And that was some time ago, some time in 1996.

SA Subsequent to that have you gone back to Hungary? On Credit Suisse First Boston business?

MR. HOLBROOKE: Yes, I think I did. But I can't give you the exact date.

SA And did the ambassador, or any other embassy of Budapest personnel accompany you on any other meetings?

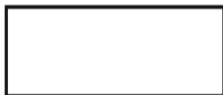
MR. HOLBROOKE: Not that I can remember. But that may not be. You know, there may have been somebody [inaudible]. There have been many trips, and many countries.

SA Sure, I understand. What I'd like to do is, again and I are not here to adjudicate or to judge or anything; we're just fact gatherers and reporters of information. So just because I ask a question, I don't want there to be an assumption that we feel that there is something improper going on. What I'd like to do is just kind of read in part a letter that came to us, an allegation, and it specifically has to do with the area we're talking about now. And just to get your impression or response to this.

"Whatever our ambassadors, intentions, however, by sitting in on Mr. Holbrooke's meetings, they almost certainly created the impression that Mr. Holbrooke still enjoyed a

quasi-official status. Indeed, the distinction between Mr. Holbrooke's various hats, once they become even more puzzling, is his foreign contacts when in June 1997 he was made Special Presidential Emissary for Cyprus while still working full time at CSFB. How Mr. Holbrooke's appearance of a funny, excuse me, a fuzzy association with the U.S. government in 1996 and 1997 aided his simultaneous effort as a rainmaker at CSFB is a matter of speculation that the U.S. government are surrounding his dealings could not but have had an impact on the new democracies he visited, eager as they were to join NATO and otherwise curry favor with the United States. The unwitting support our embassies gave to Mr. Holbrooke's efforts on behalf of CSFB almost certainly deserve a closer look, particularly at CSFB matters wherever discussed at meetings in which our ambassadors were present."

MR. HOLBROOKE: What about it?



[Inaudible]

SA 

I guess the point is that this is the allegation that's come forward, and a possible conflict with or an appearance of the U.S. government promoting CSFB and just by going along to these meetings with you, or sponsoring, if you will.

MR. HOLBROOKE: Look, I don't even know how to respond to this paragraph. It's exactly why I said I was exceedingly careful. What he's saying is that there was an

appearance [redacted] when [redacted] had the same job, and I when I had that job and many other people had all faced this issue. Each ambassador is free to make his own decision. I never took an ambassador with me for a CSFB discussion. The lines were very sharply etched. Because I feel very strongly about that. The allegation that it aided me as a rainmaker, when I wasn't even [inaudible], is just absurd. It was written by somebody whose never been on Wall Street, and doesn't know how it works. In any case, our firm did not do particularly well in these countries in the last two years. Not because of my efforts, either way, but because the firm [inaudible]. I don't even know what our transaction flow is. I don't know what [inaudible] does there, and we agreed what I would go there about once a year. That's about what I did. As part of general stuff. And that was that. And I'm just shocked by this, because I didn't ask for this God damn Cyprus job. I was besieged by the President and the Secretary of State to take it. And I did to...

[redacted] And me also, because I wanted to take it, too, so I could...

MR. HOLBROOKE: [redacted] was moving on to be [redacted] I mean I'm just flabbergasted by the fact that I take this unbelievable assignment, the most famously focused case in the United States foreign policy community -- Cyprus -- which everyone from Dean ACHESON to [redacted] has failed in, and that is then turned into a rainmaking operation, is really unbelievable. I wasted a huge amount of my time on this Cyprus thing, to the certain detriment of my compensation at CSFB, because they didn't want me to do Cyprus. But because [redacted] had negotiated an agreement with them,

if the the President asked me to do something they'd agreed. But they sure as hell didn't like it. Every trip I made to Cyprus, or every consultation I had to make in London about Cyprus, or every phone call I had to make on Cyprus, was a diversion from what I was assigned to do and being paid to do. What I did, if that would create a rainmaker opportunity in a country like Hungary which doesn't give a shit about Cyprus, not at all, is bizarre. Completely bizarre.

SA [] Had you met with the same individual, I believe you said HORN...

MR. HOLBROOKE: HORN is the prime minister.

SA [] Have you had opportunity to meet him as Assistant Secretary?

MR. HOLBROOKE: Yeah, he came to my wedding. They all came to my wedding. The Foreign Minister, the Defense minister, the President, the Prime Minister. Now, there's been a change in government the last month. But these guys are all personal friends [] And of course the ambassador wanted to come. If you were ambassador in a country, you always are looking for chances to spend time with the Prime Minister. The best way to do it is to go with somebody. But to make clear how careful we were, we didn't take the Credit Suisse [] in the room with us [] was furious. Furious, and called [] and [] said they've excluded me from the meeting, and they're in there alone, and [] was [inaudible] "what are

you doing, you're undermining us here." That's an accusation of rainmaking? It's the exact opposite. The ambassador wanted to come, and by the way, putting on my former hat as an Assistant Secretary of State, he was right, because he should have full access to the Prime Minister, and we had agreed in advance we wouldn't even mention my firm. And then, when I met with [REDACTED] there was no embassy person there. I did not use an official vehicle. I went to that level of precision. I really, you know, that's a well-written piece of fantasy as far as I'm concerned. That helped me as a rainmaker, when in fact I was criticized within my own firm for what happened? In this particular meeting? It's crazy.

SA [REDACTED] Let me ask you this. We spoke a little bit about companies, American companies, and the role that embassies and ambassadors play in promoting American companies. CSFB, the current company you were hired by, what's their status?

MR. HOLBROOKE: I don't know. When you say status...

SA [REDACTED] Status meaning if they were determined not to be an American company, would they enjoy the same support by ambassadors and embassies...

MR. HOLBROOKE: I have no idea. But can I be clear on why I don't know?

SA [REDACTED] Please.

MR. HOLBROOKE: Because since the day I left the government, I have never discussed the bank with anyone in the government. I never asked anyone for anything, and that is their business. I don't, I keep the two separate. So it's of no consequence to me whether I'm with an American firm that deserves the support of the government, or a Swiss firm that doesn't. That's [redacted] problem. That's Zurich's problem. That's London's problem. But since I will never ask the U.S. government to do anything in my benefit, for my firm, never, even after you get past the time limits under the government ethics act, which I'm familiar with, it was inconsequential to me. I asked [redacted] once, in passing, whether the change in status affected us and he said, "Gee, that's a good question. I don't know. Let me check." I never heard from [redacted] and I never followed up. And I never asked anyone in Washington because that would imply an interest.

SA [redacted] What other countries have you gone to as a CSFB employee in which an ambassador or other embassy person accompanied you to a meeting?

MR. HOLBROOKE: I can't remember.

SA [redacted] Slovakia?

MR. HOLBROOKE: There was a meeting in Slovakia, but I can't remember where the embassy [inaudible]. There was a meeting in Slovakia. There was a transaction deal,

and they asked me to intervene with the government, and I did and we lost. But I don't remember what the deal was. I remember we lost [inaudible]. That I remember clearly.

SA [] Let me ask you this. Do you recall going to any countries as a CSFB employee or representative in which an ambassador or employee did accompany you?

MR. HOLBROOKE: Well, you know, this [] his gets into this question about trips in which you're doing two different things and there are, there are some cases where I went to countries wearing two hats. I tried to keep them separate. I just [inaudible]. I couldn't give you a full list now, because it might be, you know, it might be incomplete. There were countries where, outside of former Yugoslavia to Cyprus, which were completely out of the CSFB realm, where I would see one person, like in Budapest, see HORN with the ambassador, and then see [] of the central bank separately. That's a very common thing.

SA [] Can you think of other countries where that took place?

MR. HOLBROOKE: Sweden. Sweden because Prime Minister KIRSTEN had asked the President if I could represent the United States on the Baltic Advisory Commission. And that was announced in the papers. And I said "sure." And that was a nonfunctioning, that was a non-executive group that met three or four times a year. I made two meetings, where we'd sit around and discuss things. And on a trip like that, I

would do the Baltic Advisory thing which was quasi-official, and then I'd sign the log separately, I'd make calls on people in the private sector, not government officials, but say, the head of a Swedish bank, or the head of Investor, a big investment corporation.

SA Did the ambassador ever go with you?

MR. HOLBROOKE: Not to the business meetings. And he didn't go to the Baltic Advisory Commission, either because he was not a [inaudible].

SA Well, what meetings did he go to?

MR. HOLBROOKE: I don't remember. I don't know. But the Baltic Advisory Commission did not involve the United States, but it was something that KIRSTEN asked the White House about at the time. And before I agreed to it, I called
 who was then and said yes it did come up and yes, it was a nice idea. But that was completely unofficial; there was no, it wasn't a U.S. government appointment. It was a request to the White House. Would you object if we asked HOLBROOKE to be the American. And, you know, that was pretty routine. In Romania, I went to Romania on a trip in pursuit of a deal, which the firm also lost, in which the ambassador insisted on coming to the meeting. Insisted. And I asked him not to.

SA Who was the ambassador?

MR. HOLBROOKE: Moses. He said I have to come, because I've come for your competitors and I want to show a level playing field. And there, that was his insistence, he said I've been in the room for other firms, and I'm going to be in the room for you to show a level playing field. And that was absolutely at his insistence. And my own colleagues were, they were angry, they'd been excluded from Hungary [inaudible]. Yeah, Bucharest.

It doesn't matter, in neither case does he get the business. He was not a rainmaker. [laughter]

MR. HOLBROOKE: If that's rainmaking, it was pretty [inaudible]. I can't remember what the deal was. But I do remember that Moses said, you know, I want to show a level playing field. And I said, Al, it's not necessary. It really isn't. Oh, I know what it was. It was the privatization of the Romanian [inaudible]. That's what the deal was. And we lost it big time. [inaudible] But I made one trip, and he wanted to come to the meetings. Now, in the meeting with the President, it never came up. There was no discussion. But he also came to the meeting of the ministers. And he said that he'd done this for other people, and he insisted. And my own guys objected. They said this is not what we want. We don't want [inaudible] of the U.S. government. And I said, I told him we'd rather not. And he said no, I have to come. That is quite a vivid memory.

SA ☐ He wanted to create a level playing field, with who?

MR. HOLBROOKE: He wanted to treat us equally with other firms.

SA ☐ With other American firms?

MR. HOLBROOKE: Yes. But I want to stress ☐ did not ask him to come. I asked him, I suggested he not come, but because [inaudible] he said "no, I've done it for Merrill and other firms, [inaudible]."

SA ☐ So he was certainly under the impression that CSFB was an American company.

MR. HOLBROOKE: I don't know what impression he was under.

SA ☐ Certainly he would have no obligation to create a level playing field for a foreign company, correct?

MR. HOLBROOKE: That's right. No, to the contrary. But I have no idea why he insisted on coming.

SA ☐ Did he ever inquire of you as to if CSFB was an American company?

MR. HOLBROOKE: No. Not that I remember.

SA ☐ I guess that's my point. Back to a previous question about under that situation, would it not be important for you to know if CSFB had that status, if it was an American company or not?

MR. HOLBROOKE: This particular meeting that we talked about, it all kind of took place on the fly, we were coming in and my guys had a meeting there, and Moses says, "I'm coming with you." And he came with us. And by the way, I want to be clear, he did not intervene on my behalf. He did not say, this is a good firm, this is a bad firm. He simply was there, as part of the discussion process. He did not take a position in any way, adversarial or supportive. But he was there, at his own insistence.

SA ☐ Would -- you can try and reach back into memory and just name as many other countries that you've traveled to as a representative of Credit Suisse First Boston.

MR. HOLBROOKE: Oh, God. I've made calls for the firm in Britain, France...

SA ☐ : Calls meaning, just that -- telephone calls?

MR. HOLBROOKE: No, no.

: Business travel.

b7C Per DOS

SA Travel to.

MR. HOLBROOKE: Yes. I've made calls on clients, or spoken on behalf of the firm which is [inaudible] in Britain, France, Switzerland, Germany, Norway, Sweden, Latvia, Lithuania, Russia, Italy -- one call, Taiwan, Korea, Hong Kong, Singapore, Bangkok, [inaudible], and I said Hungary, Slovakia, I'd forgotten Slovakia until you mentioned it [inaudible]. But I remember [inaudible]. People come to see me in New York, too.

SA Are those trips, I assume, well documented or documented to some degree as to you had meetings with?

MR. HOLBROOKE: Yeah, I think they're pretty well documented. It may show meetings that didn't take place because we cancelled, or meetings that took place which aren't on the schedule because these things change all the time.

SA Sure.

MR. HOLBROOKE: But I have a pretty good sense of, I could reconstruct [inaudible].

SA The documents also show what meetings State Department people would have been present in the instances that you mentioned?

MR. HOLBROOKE: Some might, some might not.

SA Can you recall any other instances where an ambassador would have accompanied you to a meeting?

MR. HOLBROOKE: In Korea. Right after he was appointed and elected president, but before he was inaugurated, [inaudible]. This was in January or February of this year. And I called up Ambassador Bosworth and said this meeting was arranged through Credit Suisse First Boston, but there's no transaction business [inaudible] But I said this was your call. This was at the point [inaudible] and he said "I'd like to sit in."

SA Can I ask you why CSFB would not want an ambassador's presence or support?

MR. HOLBROOKE: Because -- you explain (turning to). You can do that a lot better than I can. [laughter] You've got all these [inaudible].

[redacted] In part, it's because of the question that you and I asked him. They don't want to suggest [inaudible] and, secondly, they don't want to be excluded from the situation [inaudible].

MR. HOLBROOKE: I think there's a third reason. And that is that if you think that embassies will help [inaudible]. And, I did this in the case of Korea, this was very important to show support for a government that was in the process of disarmament.

[redacted] Can we stop for a second, and just take a break. I'm sorry.

SA [redacted] Sure. It's 2:42 hours -- we're taking a break.

MR. HOLBROOKE: If it was, and again I stress this, foreign minister or prime minister, never anyone in the financial [inaudible].

[redacted] I want to add something to that so you get some sense of what [redacted] is talking about. You know, Cy VANCE is the, he retired just recently as a senior partner here. And I had accompanied Cy VANCE, Mr. VANCE, on a lot of business trips after his service in the government, when he came back to the law firm. We both came back to [inaudible]

at the same time. And often, that trip would be a business trip for the law firm. But, without a doubt, and almost without fail, when Cy VANCE was going to a foreign country, and when Richard HOLBROOKE was going to a foreign country, the prime minister, the foreign minister, you know, they want to meet with either HOLBROOKE or VANCE. I mean they want to do that. It's nothing to do with business. They want to do it because that person has been in the government, because, you know, Mr. VANCE was a government official, now former government official. They just want to meet with them, and, without a doubt, I can't remember the specifics, but the ambassador in that country was always notified that the foreign minister of Saudi Arabia wanted to see Cy VANCE, and the ambassador was given the opportunity to go on the trip. And would want to go.

MR. HOLBROOKE: And almost always went.

b7C Per DOS

[REDACTED] Would almost want to go every time to a meeting because it's another opportunity for the ambassador to be in front of the prime minister or the foreign minister. And, you know, so you'd then set up these strict rules as [REDACTED] lid -- you know, you can't discuss business. If you want to discuss business you [inaudible]. But they always want to meet with the HOLBROOKE or the VANCE. it would be surprising if they didn't.

MR. HOLBROOKE: Are you all going back to Washington tonight?

SA [] Yes we are. Very shortly. A couple more questions. Did you ever ask any ambassador or other State Department employee to speak with any host country official in any matter involving CSFB?

MR. HOLBROOKE: Not to my knowledge.

SA [] If you had, do you think you would remember?

MR. HOLBROOKE: I think I would, yeah. If I did, it would violate my own rule that I enunciated earlier.

SA [] One more question. I don't believe we asked this one. I know we asked, did you seek any advice when living in [] home, did you seek any advice from any department personnel with regard to taking a position with Credit Suisse First Boston.

MR. HOLBROOKE: I informed [] as I told you earlier, in writing [inaudible] recused [inaudible] each time a person [inaudible].

SA [] So those memorandum should be in L's files?

MR. HOLBROOKE: Should be. If he don't have them, I think I may be able to find them [inaudible]. Your question is did I talk to anyone in the government about going to Credit Suisse First Boston?

SA No, anyone in the department.

b7C Per DOS

MR. HOLBROOKE: About going to CSFB?

SA Yes.

MR. HOLBROOKE: No. I did not even tell Secretary Christopher. The only person I told was And I called p, and I said, tell me what the rules are. said "You send me letters of recusal [inaudible]." And said no one else needs to know, unless it comes up, in which case [inaudible]. In other words, there never was a recusal issue.

SA You didn't have any conversations with Secretary Christopher?

MR. HOLBROOKE: About going to CSFB? I can't remember if I did. I certainly told him about it before the announcement.

SA Yes.

MR. HOLBROOKE: You know the fact that I was going never leaked. We announced it on the day I was leaving. And no one knew about it, because we were so careful. I certainly told Chris. Did I ask Chris's advice [redacted] To be quite frank with you, I don't remember doing so, but I might have as a courtesy. I don't remember. I don't remember [redacted] whether [redacted] law firm had any previous contacts with CSFB anyway. But, I don't think so. No, my advisors in my future [inaudible]. I must have told Chris beforehand. But did I seek their advice? Not that I can remember. If I did, it was a courtesy.

SA [redacted] Before I turn the tape off, do you have any questions?

[redacted] I guess not related to the questions you've asked, but I would like to ask you some questions -- I don't know whether you're going to record this or not -- just about what happens now. And maybe the only way to ask you is to pose different hypotheticals. There are only so many courses of action. Tell me, what does that mean? If you two concluded, based on this interview and other information that you collected, that nothing should go forward, or there wasn't any reason to go forward, what would happen in that case?

SA [REDACTED] What would happen is our office would close the investigation and a letter from the IG to the Secretary of State saying that there were no findings basically that we found no evidence substantiating the allegations.

[REDACTED] And suppose during that period of time, the FBI came to you and says you have an investigation going on with respect to [inaudible], which I think is a routine thing, you would inform him that had an investigation going on?

SA [REDACTED] Yes. In a case like this, given the sensitivity of this matter, one example would be [inaudible].

[REDACTED] Obviously, another course of action would be [inaudible].

SA [REDACTED] I'll be very up-front. I think right now, we can, with good confidence, say that, and I think I stated earlier in the interview, there is more work for us that needs to be done in the view of leading to, to do a complete investigation where, whatever entity may review it down the road, would not suspect that we did an incomplete job so, therefore, they need to do some type of further inquiry, so, in the interest of doing a complete job, I'll say right now with pretty fair certainty and confident that we do need to do some more work. I'll also state that this will be a priority, and is a priority, and will continue to be until it's closed.

[redacted] You're aware of the extreme sensitivity as well as the confidential nature, and will remain confidential, and certainly of the timing, [inaudible] Dick needs this appointment process.

SA [redacted] You can be assured this gets our office's top priority.

[redacted] Come the other hypothetical, suppose whenever you conclude your work, that you determine that something further has to happen, what is it that potentially could happen?

SA [redacted] Again, speaking completely hypothetically, this is standard language for our investigative process. If we determine that, and of course we did mention that we discussed this case with the Department of Justice, Public Integrity Section, if they were to accept the case for prosecution, for criminal, as a criminal matter, then we would send a report to them, and they would proceed accordingly. If they decide to decline criminal prosecution, then we would write an administrative report which would probably go to the Secretary of State.

[redacted] And the Secretary of State?

SA [] Actually, I don't know if the Secretary of State would handle the action. It would probably be the Director General. Although given the level here, the Secretary of State may or may not be involved in what happens.

[] Would you give us, would you come back to us and give us an opportunity to talk to you before you made that decision?

SA [] As far as the report, not normally. Again, we did this interview up-front on this investigation. Ordinarily [inaudible]. Certainly, if we gather any information during the course of our investigation, to the point that we can't reconcile what we've talked about today certainly we'll give you an opportunity to talk about it.

[] Is there anything else we can do to assist you?

TAPE 1 SIDE 2 ENDED - BEGAN RECORDING TAPE 2 SIDE 1

SA [] I think we mentioned that I would certainly like copies of [inaudible].

[] Here's that copy that you asked for. This is a copy of Dick's employment agreement, if you will, it's just a letter, with C.S. First Boston, which obviously we'd like to remain confidential. My copy's signed only by Credit Suisse First Boston. I don't have a copy signed by him. He did sign it, but, you know, what's

important to me is the signature from the other side. This is the final agreement that [inaudible].

SA [redacted] if we need anything else.

[redacted] You can call me.

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SA [redacted] Call you. Thanks.

MR. HOLBROOKE: Do you have any estimate of how long this process is going to take, and what effect it will have on the rest of the vetting process?

SA [redacted] It's difficult to say. Any time I've ever chanced a guess, it's an event that's happening, been totally wrong. Other than to say that this is a high priority case and we will finish this as expeditiously as possible. We've been told this comes first. And how this will affect the vetting process, I cannot even speculate. Again, other than as we discussed previously, that during the background the bureau (F.B.I.) may make an inquiry as to what we have in our files.

[redacted] Is the Office of Public Integrity waiting for you to come back to them?

SA [] They're right now more on board as more of an advisory capacity. They have not formally accepted this case. We just went to them basically, to give them a heads up.

[]: But I would assume, and correct me if I'm wrong, that they would wait until you've completed your investigation.

SA [] Right.

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[] And you'd let them know the outcome of the investigation.

SA [] Exactly.

[] Would you let us know?

SA [] Well formally, there's no formal procedure for that. However, if you give us a call at any point, we'd be perfectly happy to tell you what the status is. We might not be able to be specific about what exactly we're doing, but we can certainly give you the status.

[redacted]: If I called you up to know in a week, [inaudible] discussion, and you have concluded that you've done a full investigation and this shouldn't go any further, would you tell me that?

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[Inaudible]

SA [redacted] I think that concludes the interview at 1507 hrs on July 14th.

"Supplemental"
report
sent to
Secretary Albright



United States Department of State

Washington, D. C. 20520

December 17, 1998

PERSONNEL SENSITIVE
INFORMATION MEMORANDUM
S/S

MEMORANDUM

TO: The Secretary
FROM: IG - Jacquelyn L. Williams-Bridgers
SUBJECT: Report of Investigation
RICHARD C. HOLBROOKE
Ambassador
OIG Case No. 98-116

Attached for your information is a Report of Investigation on Ambassador Richard C. Holbrooke. Our investigation determined that Ambassador Holbrooke, while serving as Assistant Secretary of State for European and Canadian Affairs from September 1994, until February 1996, lived rent free in the Georgetown (Washington, D.C.) townhouse of then - Ambassador to Switzerland M. Larry Lawrence. Ambassador Holbrooke failed to disclose his stay in the townhouse as a gift as required on his Financial Disclosure Reports.

Subsequent to being interviewed by our office on this matter, Ambassador Holbrooke submitted an amendment to his Financial Disclosure Reports indicating that he had failed to disclose the gift of the rent from Ambassador Lawrence. Ambassador Holbrooke estimated the value of the "gift" at \$800-\$1000 per month for the seventeen months of his stay.

For your information, an investigation into conflict of interest allegations against Ambassador Holbrooke has been referred to the Department of Justice, Public Integrity Section for prosecutive consideration.

If you would like to further discuss any aspect of this matter, I would be happy to meet with you at your convenience.

PERSONNEL SENSITIVE

RICHARD C. HOLBROOKE
Special Government Employee
New York, New York
FAILURE TO DISCLOSE FINANCIAL DISCLOSURE INFORMATION
OIG CASE NO. 98-116

Title: Richard C. Holbrooke
Special Government Employee
New York, New York
Failure to Disclose Financial Disclosure
Information
98-116

Date of Report: b7C Per DOS

Type of Report: Administrative Report

Report Agents:



Approved by:  ASAC

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EXECUTIVE SUMMARY

This investigation was predicated upon information that then-Assistant Secretary for European and Canadian Affairs (EUR) Ambassador RICHARD HOLBROOKE lived in the Georgetown (Washington D.C.) townhouse of then-Ambassador to Switzerland M. Larry Lawrence rent free and did not report the "gift" on his Financial Disclosure Reports filed with the Department of State (DOS) as required. Additional information indicated that Ambassador HOLBROOKE may have had a conflict of interest by subsequently providing DOS with a memorandum describing Ambassador Lawrence's Merchant Marine service during World War II. This information was used in part as justification for a waiver allowing Ambassador Lawrence's burial in Arlington National Cemetery. It has been established that Ambassador Lawrence fabricated his military service record.

An interview with the Household Manager for Ambassador Lawrence's Georgetown townhouse revealed that Ambassador HOLBROOKE lived in the residence from September 20, 1994, until February 1996. [REDACTED] stated that Ambassador HOLBROOKE did not pay rent or utilities during his stay, but did pay for his telephone usage as well as for food and cleaning.

Ambassador HOLBROOKE's Financial Disclosure Reports, filed on May 16, 1995, and June 4, 1996, contain no entries for "Gifts, Reimbursements and Travel Expenses." The Financial Disclosure Reports contain no reference to Ambassador HOLBROOKE living in Ambassador Lawrence's townhouse.

When interviewed about this matter, Ambassador HOLBROOKE confirmed that he lived in the townhouse but stated that he occupied only one small room during his stay. Ambassador HOLBROOKE stated that his Financial Disclosure Reports were prepared for him by his accountant and that he (Ambassador HOLBROOKE) was not aware that he was required to report his stay as a gift and that he was unaware that the gift had not been listed on the report. Regarding the burial memorandum, Ambassador HOLBROOKE stated that the detail in the memorandum was supplied by Ambassador Lawrence's official biography, which Ambassador HOLBROOKE had no reason to believe was inaccurate.

Subsequent to his interview with OIG, Ambassador HOLBROOKE submitted an amendment to his May 16, 1995, and June 4, 1996, Financial Disclosure Reports in which he estimated the value of the gift from Ambassador Lawrence to be \$800-\$1000 a month for the seventeen months of his stay.

This matter was reviewed by the Department of Justice, Public Integrity Section, and determined not to warrant criminal prosecution of Ambassador HOLBROOKE.

DETAILS

On June 22, 1998, the Office of Inspector General (OIG) initiated an investigation based upon information developed during a separate OIG investigation indicating that then-Assistant Secretary for European and Canadian Affairs (EUR) Ambassador RICHARD HOLBROOKE resided in the Georgetown (Washington D.C.) townhouse of then-Ambassador to Switzerland M. Larry Lawrence rent free. Ambassador HOLBROOKE failed to report this "gift" on his Financial Disclosure Reports filed with the Department of State (DOS) as required.

Ambassador HOLBROOKE initialed a memorandum to Assistant Secretary for Administration Patrick Kennedy on January 10, 1996, describing Ambassador Lawrence's Merchant Marine service during World War II (Tab 1). This memorandum describes Ambassador Lawrence's service aboard the U.S. Merchant Marine vessel *Horace Bushnell*, which was torpedoed and sank in 1945. This memorandum was used in part as justification for a waiver authorizing Ambassador Lawrence's burial in Arlington National Cemetery. Ambassador Lawrence was subsequently determined to have fabricated his service record.

On August 14, 1998, OIG interviewed [redacted] household manager at 1527 35th Street, Washington, D.C., the residence owned by [redacted] confirmed that the residence is currently owned by [redacted] stated that Ambassador HOLBROOKE moved into the residence on September 20, 1994, and lived there until February 1996. [redacted] stated that Ambassador HOLBROOKE had the whole house available for his use, but he kept mostly to the kitchen and his bedroom (Tab 2).

On August 26, 1998, OIG interviewed Shelia Lawrence, who confirmed that Ambassador Lawrence invited Ambassador HOLBROOKE to stay in the Georgetown townhouse during his tenure as Assistant Secretary. [redacted] stated that Ambassador HOLBROOKE did not pay rent for his use of the townhouse, nor did he pay the utilities. [redacted] stated that Ambassador HOLBROOKE paid for his use of the telephone as well as for food and cleaning (Tab 3).

OIG reviewed Ambassador HOLBROOKE's Executive Branch Public Financial Disclosure Reports dated May 16, 1995 (Tab 4), and June 4, 1995 (Tab 5). Both reports are signed by Ambassador HOLBROOKE. Under "Schedule B, Part II: Gifts, Reimbursements, and Travel Expenses," both forms are marked "none." Language is contained in that section of each form as follows:

Report the source, a brief description (including travel, dates, and the nature of the expenses provided), and the value of: (1) transportation, lodging, food, or entertainment received from one source totaling \$250 or more (unless received as personal as hospitality at the donor's personal or family residence); (2) other gifts from one source totaling \$100 or more in value; and (3) cash reimbursements of \$250 or more from source.

On July 14, 1998, Ambassador HOLBROOKE was interviewed by OIG. Ambassador HOLBROOKE confirmed that he lived in Ambassador Lawrence's Georgetown townhouse for seventeen months during his tenure as Assistant Secretary (Tab 6, pp. 5-6, 8). Ambassador HOLBROOKE stated that he accepted the offer to live in the townhouse because his own Georgetown townhouse needed extensive rehabilitation. Ambassador HOLBROOKE stated that he stayed in one small room which had its own bathroom (Tab 6, pp. 7-8). Ambassador HOLBROOKE confirmed that he lived in Ambassador Lawrence's townhouse for seventeen months, but stated he was out of Washington an enormous percentage of the time during that period (Tab 6, pp. 8-9). Ambassador HOLBROOKE confirmed that he did not pay rent, but added that he offered to do so but [redacted] declined (Tab 6, pp. 9).

Ambassador HOLBROOKE stated that prior to accepting Ambassador Lawrence's invitation to live in the house, he contacted [redacted] and informed [redacted] of his intentions. Ambassador HOLBROOKE stated that [redacted] told him that he did not see an ethics problem concerning his living in the house (Tab 6, pp. 7, 11).

Regarding his Financial Disclosure Report for June 4, 1996, Ambassador HOLBROOKE stated that the report was filled out by [redacted] who was the assistant to his accountant. [redacted] Ambassador HOLBROOKE stated he skimmed the report before he signed it, but he did not carefully review it. Ambassador HOLBROOKE stated he was unaware that his living in the townhouse had not been listed on the report (Tab 6, pp. 15). Ambassador HOLBROOKE added that it did not occur to him that living in the townhouse was a gift that was required to be listed on the report (Tab 6, pp. 15, 18-19). Ambassador HOLBROOKE was not questioned in detail about his May 16, 1995, report.

Regarding the memorandum to Assistant Secretary Patrick Kennedy Ambassador HOLBROOKE initialed for Ambassador Lawrence's burial at Arlington National Cemetery, Ambassador HOLBROOKE stated that the memorandum was prepared for him by the Executive Office of EUR. Ambassador HOLBROOKE stated that the information in the memorandum was based upon Ambassador Lawrence's official biography, which was vetted by DOS, the White House and the Senate Foreign Relations Committee (Tab 6, pp. 24). Ambassador HOLBROOKE stated he had no reason to believe that Ambassador Lawrence had fabricated his service record (Tab 6, pp. 25).

On July 23, 1998, OIG interviewed [redacted] who stated that [redacted] had no recollection of the telephone conversation in which Ambassador HOLBROOKE supposedly informed [redacted] that he was going to be living in Ambassador Lawrence's house. [redacted] added that this did not mean that the conversation never took place. [redacted] stated that [redacted] was no longer in possession of the journals containing [redacted] notes of conversation from 1994 (Tab 7).

[redacted] Trial Attorney, Department of Justice, Public Integrity Section, informed OIG that the issue regarding Ambassador HOLBROOKE's failing to disclose his living in Ambassador Lawrence's townhouse does not merit prosecutive consideration.

ATTACHMENTS

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1. Memorandum from Ambassador HOLBROOKE to Assistant Secretary Patrick Kennedy, dated January 10, 1996 regarding Ambassador Lawrence's burial.
2. Information of Record Form for [REDACTED] dated August 14, 1998.
3. Information of Record Form for [REDACTED] dated August 26, 1998
4. Ambassador HOLBROOKE's Public Financial Disclosure Report, dated May 16, 1995.
5. Ambassador HOLBROOKE's Public Financial Disclosure Report, dated June 4, 1996.
6. Transcript of Ambassador Holbrooke's July 14, 1998, interview with OIG.
7. Information of Record Form for [REDACTED] dated July 23, 1998.

Official
OLG
referral
to PIS.



United States Department of State
U.S. Arms Control and Disarmament Agency
United States Information Agency, including the
Broadcasting Board of Governors

The Inspector General

December 17, 1998

[Redacted]
Chief, Public Integrity Section
Department of Justice
P.O. Box 27518, Central Station
Washington D.C. 20038

b7C Per DOS

Attention: [Redacted]

SUBJECT: Ambassador RICHARD C. HOLBROOKE - U.S. Department of State

The attached prosecutive referral regarding U.S. Ambassador Richard C. Holbrooke, details our investigation into allegations that Ambassador Holbrooke intervened in a matter on behalf of his future employer, Credit Suisse First Boston (CSFB); made several requests for official action, within one year of leaving the Department, to U.S. Ambassadors in order to further business for his employer; claimed reimbursement from his employer for meals purchased for Department of State officials; and received classified information which he used in part to publish his memoirs.

Based on our investigation, we have reasonable grounds to believe there may have been violations of federal criminal law in Ambassador Holbrooke's requests for official action and refer this matter to you. We also refer, the matter of meals paid for by Ambassador Holbrooke's employer for Department of State officials, for a determination of whether there has been either a violation of federal criminal law or a violation of the tax code on the part of Ambassador Holbrooke and/or his employer, CSFB.

We appreciate your attention to this matter. If you or members of your staff have any questions, please contact [Redacted] Special Agent in Charge, at (703) 284- [Redacted]

Sincerely,


Jacquelyn L. Williams-Bridgers

Address correspondence to: U.S. Department of State, Office of the Inspector General, Washington, D.C. 20520-6817

(WED) 1.27.99 15:21/ST.15:20/NO.4861219141 P 2

FROM

Title: RICHARD C. HOLBROOKE
U.S. Ambassador
U.S. Department of State
Washington D.C.

and

Vice Chairman
Credit Suisse First Boston Corporation
11 Madison Avenue
New York, N.Y.

OIG Case No. 98-116

Date of Report:

Type of Report: Prosecutive Referral

Reporting Agents: Special Agent
 Special Agent

Approved by: Special Agent in Charge

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EXECUTIVE SUMMARY

On July 8, 1998, the Office of Inspector General (OIG), U.S. Department of State, received a letter from an anonymous source alleging that activities by Ambassador Richard HOLBROOKE violated Federal conflict of interest statutes. The first allegation was that Ambassador HOLBROOKE, while serving as Assistant Secretary for European and Canadian Affairs (EUR), intervened with the U.S. Ambassador to Hungary on behalf of Credit Suisse First Boston (CSFB), a Swiss owned firm. Upon resigning his EUR position on February 21, 1996, Ambassador HOLBROOKE went to work for CSFB. The second allegation was that during his employment with CSFB, Ambassador HOLBROOKE asked U.S. Ambassadors to accompany him to meetings with top level foreign government officials in violation of his one year post government "cooling off" period.

Regarding the first allegation, the OIG investigation determined that in May 1995, while Assistant Secretary, Ambassador HOLBROOKE intervened with Ambassador to Hungary Donald Blinken on behalf of CSFB. However, the investigation determined that Ambassador HOLBROOKE did not begin discussions with CSFB regarding possible employment until July 30, 1995. Interviews with CSFB officials and reviews of subpoenaed documents from CSFB failed to disclose any indication that Ambassador HOLBROOKE was negotiating for employment with CSFB at the time of his intervention on behalf of the firm.

Regarding the second allegation, the OIG investigation determined that during the first year after he resigned as Assistant Secretary, Ambassador HOLBROOKE made three trips (to The Czech Republic, Sweden and South Korea) on behalf of CSFB in which he requested U.S. Ambassadors take some kind of official action. In addition, the OIG investigation found one other instance in which HOLBROOKE contacted a Department official asking for official action within his one year "cooling off" period. This contact took the form of a handwritten letter to a then-Deputy Assistant Secretary.

During the investigation, OIG determined that on six occasions during the first year after he resigned as Assistant Secretary, Ambassador HOLBROOKE was reimbursed by CSFB for dinners and luncheons he bought for senior Department of State officials. When interviewed, all of these officials stated that CSFB business was not discussed with Ambassador HOLBROOKE and, that they were not asked to take any action that would have benefited CSFB.

During the investigation, OIG was contacted by a confidential source (CS-1) who alleged that Ambassador HOLBROOKE's [redacted] was present during the Dayton Peace accords and took notes on a laptop computer though [redacted] did not possess a security clearance. Although [redacted] did attend at least one meeting on the Dayton Accords, no evidence was developed that [redacted] recorded the event in any way or misused any information obtained from such a meeting. OIG was unable to develop sufficient information substantiating this allegation. During the investigation, OIG also received a separate anonymous complaint that a former Deputy Chief of Mission of the U.S. Embassy, Athens, Greece, provided classified material to Ambassador HOLBROOKE for use in

the publication of his memoirs. Although there was some evidence of the DCM's efforts to provide Ambassador HOLBROOKE with certain classified information, OIG was unable to substantiate that Ambassador HOLBROOKE received such classified information, or that it was the source for material which was published in Ambassador HOLBROOKE's memoirs, which were reviewed and approved for publication by the Department of State.

APPLICABLE STATUTES

18 U.S.C. 201(c): Bribery of public officials.

(1) Whoever, otherwise than as provided by law for the proper discharge of official duty --

(A) directly or indirectly gives, offers, or promises anything of value to any public official, former public official, or person selected to be a public official, for or because of any official act performed or to be performed by such public official, former public official, or person selected to be a public official; or

18 U.S.C. 207(c): One-year restrictions on certain senior personnel of the executive branch and independent agencies.

(1) Restrictions.--In addition to the restrictions set forth in subsections (a) and (b), any person who is an officer or employee (including any special Government employee) of the executive branch of the United States (including an independent agency), who is referred to in paragraph (2), and who, within 1 year after the termination of his or her service or employment as such officer or employee, knowingly makes, with the intent to influence, any communication to or appearance before any officer or employee of the department or agency in which such person served within 1 year before such termination, on behalf of any other person (except the United States), in connection with any matter on which such person seeks official action by any officer or employee of such department or agency, shall be punished as provided in section 216 of this title.

18 U.S.C. 208 (a): Acts affecting a personal financial interest

Except as permitted by subsection (b) hereof, whoever, being an officer or employee of the executive branch of the United States Government, or of any independent agency of the United States, a Federal Reserve bank director, officer, or employee, or an officer or employee of the District of Columbia, including a special Government employee, participates personally and substantially as a Government officer or employee, through decision, approval, disapproval, recommendation, the rendering of advice, investigation, or otherwise, in a judicial or other prodding, application, request for a ruling or other determination, contract, claim, controversy, charge, accusation, arrest, or other particular matter in which, to his knowledge, he, his spouse, minor child, general partner, organization in which he is serving as officer, director, trustee, general

partner or employee, or any person or organization with whom he is negotiating or has any arrangement concerning prospective employment, has a financial interest, shall be subject to the penalties set forth in section 216 of this title.

DETAILS

I. Background

On July 8, 1998, the Office of Inspector General (OIG), U.S. Department of State (DOS), received a letter from an anonymous source which questioned Ambassador Richard HOLBROOKE's suitability for his nomination as U.S. Permanent Representative to the United Nations. The source claimed that the day after Ambassador HOLBROOKE resigned from the DOS, February 21, 1996, he became a Vice Chairman of CS First Boston, which is majority owned/controlled by Credit Suisse, a Swiss financial services conglomerate. The source wrote that the investment banking operation is now CSFB, owned/controlled by the Credit Suisse Group in Zurich. Source believed that the fact that Ambassador HOLBROOKE chose to work for a foreign company, one from the region over which he presided as the Assistant Secretary of State for European and Canadian Affairs (EUR), and that he was named Special Presidential Emissary to Cyprus while working for CSFB, showed questionable character. Source mentioned that U.S. Embassy Budapest became involved in a commercial advocacy on behalf of an American investment bank competing for a Hungarian Government privatization deal. The American firm competing was Merrill Lynch. Source also stated that CSFB was bidding for the privatization deal, but CSFB was not supported by the embassy or the Department of Commerce Advocacy center. Source claimed that Ambassador HOLBROOKE received a phone call from someone at CSFB because CSFB believed the embassy was leaning toward Merrill Lynch. Source states that Ambassador HOLBROOKE was asked to intervene, which he did by contacting Ambassador Blinken and ordering him to back CSFB's bid as well as Merrill Lynch. Source alleged that Ambassador Blinken met with or sent a letter to the Hungarian Government clarifying the U.S. did not "back any horse" in the privatization deal. Source stated that the country team in Budapest believed it to be unusual for Ambassador HOLBROOKE to become involved in a Hungarian privatization deal. The source further alleged that shortly after leaving the Department and becoming a Vice Chairman of CSFB, Ambassador HOLBROOKE made at least two sales development trips to central and eastern Europe on behalf of CSFB. During these trips, Ambassador HOLBROOKE allegedly asked U.S. Ambassadors to accompany him to meetings with Prime Ministers and Foreign Ministers, which according to the source, "almost certainly created the impression that Mr. Holbrooke still enjoyed a quasi-official status." (Tab 1)

Ambassador HOLBROOKE's Official Employment Status

Ambassador HOLBROOKE was appointed as Assistant Secretary for EUR on August 28, 1994. On February 20, 1996, Ambassador HOLBROOKE signed a CSFB letter agreeing to terms of his employment with CSFB (Tab 2). According to a Standard Form (SF) 50-B, Notification of Personnel Action, on file in Ambassador HOLBROOKE's Official Personnel Folder (OPF), he resigned from that position on February 21, 1996 (Tab 3). Ambassador HOLBROOKE's lawyers provided OIG with a chronology which reflects that Ambassador HOLBROOKE began employment at CSFB on February 22, 1996 (Tab 4). Ambassador HOLBROOKE's OPF also contained a letter addressed to him, dated February 21, 1996, from [redacted] Personnel Operations Division, Office of Civil Service Personnel Management. The letter indicated that Ambassador HOLBROOKE was appointed as a Foreign Affairs Officer (Expert), Grade ED-130-15, in Special Government Employee (SGE) status. The letter goes on to state the following (Tab 5):

"This appointment will become effective once a conflict of interest determination is made by the Office of Ethics and Personnel (L/EP/FD) based upon your submission of a Confidential Financial Disclosure Report (SF-450)."

In a letter addressed to Ambassador HOLBROOKE on April 17, 1996, by [redacted] Agency Ethics Official, Financial Disclosure Division, Office of the Legal Adviser. This letter confirms that Ambassador HOLBROOKE was granted a 45 day extension to file his Financial Disclosure Report. On May 31, 1996 [redacted] sent another letter to Ambassador HOLBROOKE informing him that his Financial Disclosure Report had not yet been received and notifying him that the report needed to be received by [redacted] office before June 5, 1996, to avoid a \$200 late filing fee. (Tab 6)

Ambassador HOLBROOKE's Financial Disclosure Report was received by the Department of State on June 4, 1996 (Tab 7). Ambassador HOLBROOKE's OPF also contained a Notification of Personnel Action form dated July 15, 1996, which indicated that Ambassador HOLBROOKE was appointed on that date as a Foreign Affairs Officer - Expert (Tab 8). This document states the following:

"Conditions of temporary employment explained in statement dated 02-21-96. Reason for temporary appointment: to serve as an expert advisor to the Sec and Asst. Secretary for EUR. on issues pertaining to the Dayton Peace Accords and Bosnia and others."

In addition, Ambassador HOLBROOKE's OPF contained an Appointment Affidavit dated July 15, 1996 (Tab 9), indicating that Ambassador HOLBROOKE took the oath of office as a Foreign Affairs Officer on that date. Ambassador HOLBROOKE's OPF contained no further documentation concerning his employment status with the Department of State between February 21, 1996, and July 15, 1996. In addition, no further documentation was provided by Ambassador HOLBROOKE concerning his employment status between those dates.

Former Secretary of State Warren Christopher was interviewed in an attempt to verify Ambassador HOLBROOKE's employment status with the Department of State between February 21, 1996, and July 15, 1996. Secretary Christopher recalled that on February 21, 1996, he attended an awards presentation for Ambassador HOLBROOKE. The following day, Secretary Christopher indicated that Ambassador HOLBROOKE called him to say good-bye. Secretary Christopher recalled that on July 15, 1996, he held a luncheon for Ambassador HOLBROOKE to welcome him back on board with the Department in his new capacity as an SGE. Secretary Christopher recalled having spoken to Ambassador HOLBROOKE on only two occasions between those two events and could not recall what those conversations entailed.

(Tab 10)

[redacted] was interviewed regarding Ambassador HOLBROOKE's employment status. [redacted] stated that [redacted] understanding was that Ambassador HOLBROOKE was appointed as a "consultant to the Secretary of State" after February 21, 1996, and that his role was as an unpaid informal advisor on Bosnian and Eastern European affairs. [redacted] stated that [redacted] spoke "frequently" to Ambassador HOLBROOKE during the time period immediately following his departure, usually to ask for advice regarding the Dayton Peace Accords. A copy of [redacted] Information of Record form is included in (Tab 11)

On November 20, 1998, Ambassador HOLBROOKE was interviewed and stated that he took the oath of office for his appointment as a SGE at 5:01 P.M. on February 21, 1996. However, Ambassador HOLBROOKE stated that he did not have a document confirming that he took the oath at that time. Ambassador HOLBROOKE was unable to recall who swore him in on that date. Ambassador HOLBROOKE claimed that he was in "continuous" contact with Department officials, including Secretary Christopher from February 21, 1996, until the present.

(Tab 12, pp 10-36)

II. Intervention On Behalf Of Credit Suisse First Boston - 18 U.S.C. 208(a)

On July 17, 1998, OIG interviewed former U.S. Ambassador to Hungary Donald Blinken regarding Ambassador HOLBROOKE's alleged intervention on behalf of CSFB in May 1995. Ambassador Blinken stated that the embassy was backing a U.S. firm competing for a telephone privatization contract with the Hungarian government. According to research conducted by the embassy, there was only one U.S. firm bidding for the contract. Ambassador Blinken stated that it was the determination by the Department of Commerce that CSFB was not considered to be a U.S. firm. Ambassador Blinken confirmed that then-Assistant Secretary HOLBROOKE contacted him at the behest of [redacted] Ambassador Blinken stated that Ambassador HOLBROOKE advised him that he (HOLBROOKE) was convinced that CSFB should be treated as a U.S. firm for the purpose of receiving embassy backing on an equal basis as the other U.S. firm bidding on the contract. Ambassador HOLBROOKE came to this decision after speaking with [redacted] and the Department of

Commerce. Ambassador Blinken stated that Ambassador HOLBROOKE did not order him to back CSFB, but only advised him to do so. (Tab 13)

On July 24, 1998, OIG interviewed [redacted] who confirmed that he met with then-Assistant Secretary HOLBROOKE and asked for his assistance in dealing with Ambassador Blinken. [redacted] recalled that as far as he knew, Ambassador HOLBROOKE's employment discussions with CSFB did not begin until August 1995. [redacted] advised that [redacted] was not involved in the employment negotiations with Ambassador HOLBROOKE and added that the decision to hire Ambassador HOLBROOKE had nothing to do with Ambassador HOLBROOKE's intervention on behalf of CSFB. (Tab 14)

On July 28, 1998, OIG interviewed [redacted] Regarding Ambassador HOLBROOKE's intercession on behalf of CSFB, [redacted] stated that the action saved the U.S. Embassy in Hungary as well as the U.S. Government a lot of embarrassment because [redacted] had threatened to go to the White House and have Ambassador Blinken's job over the issue. (Tab 15)

On August 12, 1998, OIG interviewed [redacted] who stated that employment negotiations with Ambassador HOLBROOKE did not begin until July 30, 1995. [redacted] advised that Ambassador HOLBROOKE's intervention on behalf of CSFB had nothing to do with his being offered a position with the firm. (Tab 16)

On August 13, 1998, OIG interviewed [redacted] [redacted] stated that Ambassador HOLBROOKE was not considered for employment with CSFB until the summer of 1995. (Tab 17)

On August 18, 1998, OIG interviewed [redacted] [redacted] recalled that Ambassador HOLBROOKE came to [redacted] for assistance regarding his employment search during the summer of 1995. [redacted] stated that [redacted] recommended that Ambassador HOLBROOKE consider CSFB. [redacted] added that [redacted] then called [redacted] to recommend Ambassador HOLBROOKE. (Tab 18)

On August 20, 1998, OIG interviewed [redacted] [redacted] stated that Ambassador HOLBROOKE was hired by CSFB because of his background as an investment banker with Lehman Brothers. [redacted] also recalled that CSFB first considered hiring Ambassador HOLBROOKE on the recommendation of [redacted] (Tab 19)

On August 13, 1998, OIG issued an Inspector General Subpoena to CSFB requesting that the company produce any and all documentation regarding Ambassador HOLBROOKE's employment with the firm. OIG reviewed the records furnished by CSFB in response to the subpoena and found no indication that Ambassador HOLBROOKE began employment negotiations with CSFB prior to July 30, 1995. (Tab 20)

Based on the foregoing (Section II, above), OIG found no evidence that Ambassador HOLBROOKE had entered into negotiations for a position with CSFB prior to intervening in this matter. Also, there was no evidence found that Ambassador HOLBROOKE was offered a position with CSFB because of his intervention in this matter.

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III. Request For Official Action Within One Year Of Leaving The Department - 18 U.S.C. 207(c)

1. *Ambassador Thomas Siebert, U.S. Embassy Stockholm, Sweden*

On August 26, 1998, Simpson Thacher and Bartlett, the law firm representing Ambassador HOLBROOKE, turned over documents to the OIG pursuant to OIG's letter of request for documents, dated August 6, 1998 (Tab 21). These documents included the following:

- Itineraries for Ambassador HOLBROOKE's visits to Stockholm, Sweden during September 2-11 and December 17-18, 1996 (Tab 22)
- A letter from Ambassador Thomas Siebert, U.S. Embassy Stockholm, to "The Honorable Richard C. Holbrooke, CS First Boston Corporation," dated April 16, 1996, in which Ambassador Siebert writes, in part: "Thanks very much for the lovely luncheon at Four Seasons this past week. [redacted] and I are looking forward to your visit during the week of May 27th...This leaves the daylight hours of May 28-29 to schedule you in Stockholm. The attached memorandum provides you "multiple choice" on your activities, beginning with new PM Goran Persson. Once we hear from you, we'll proceed with scheduling." (Tab 23)
- A letter from Vice Chairman Richard Holbrooke, to Ambassador Siebert, dated May 15, 1996, on CS First Boston letterhead, in which HOLBROOKE writes, in part: "On the calls for Wednesday, May 29, can we see Prime Minister Person (sic) [redacted] [redacted] and the [redacted] These would be largely courtesy calls, and would not take more than 30 minutes each. From our previous discussion, I assume you would not want to set these up, but if you prefer, I can do it." Attached to this letter was the following handwritten note: "From our previous discussion, I assume you would want to set these up, but if you prefer, I can do it." (Tab 24)

On September 3, 1998 [redacted] at the U.S. Embassy Stockholm, was interviewed (Tab 25). [redacted] stated that [redacted] was Ambassador HOLBROOKE's [redacted] Ambassador HOLBROOKE made to the U.S. Embassy in Stockholm during 1996. [redacted] knew that Ambassador HOLBROOKE was employed by CSFB at the time of his visits; however, [redacted] thought that Ambassador HOLBROOKE was also "on retainer" with the U.S. Government. [redacted] confirmed that [redacted] for Ambassador HOLBROOKE's [redacted] Regarding Ambassador HOLBROOKE's visit to Ericsson, as reflected on Ambassador HOLBROOKE's schedule for December 18, 1996, (Tab 22) [redacted] could not recall the purpose Ambassador HOLBROOKE's

proposed visit with Ericsson, a telephone hardware manufacturer, but confirmed that Ambassador HOLBROOKE used the U.S. government car to attend this appointment and that [redacted] accompanied Ambassador HOLBROOKE to the meeting.

On September 17, 1998, OIG received all documentation on hand at the U.S. Embassy, Stockholm, related to contacts and/or visits to that embassy by Ambassador HOLBROOKE. The following pertinent documents were received:

- A letter from Ambassador HOLBROOKE' [redacted] [redacted] dated May 20, 1996, in which [redacted] writes, in part: "2. The rest of the schedule looks great. Would there be any objection if Holbrooke brings [redacted] to the 4:30 meeting with [redacted] (Tab 26)
- Itinerary for Ambassador HOLBROOKE's May 27-30 trip to Stockholm. (Tab 27)

On October 5, 1998, OIG interviewed Ambassador Siebert, former U.S. Ambassador to Sweden (Tab 28). Ambassador Siebert was shown a copy of the April 16, 1998 letter (Tab 23), from himself to Ambassador HOLBROOKE, in which Ambassador Siebert thanked Ambassador HOLBROOKE for a luncheon at the Four Seasons and also wrote, in part: "This leaves the daylight hours of May 28 - 29 to schedule you in Stockholm. The attached memorandum provides you "multiple choice" on your activities, beginning with new PM Goran Persson. Once we hear from you, we'll proceed with scheduling." Ambassador Siebert stated that he attended a lunch at the Four Seasons hosted by Ambassador HOLBROOKE. Some Swedish friends of Ambassador HOLBROOKE were also at the lunch. Ambassador Siebert stated that he did not know who paid for the lunch; although, he stated that he did not. Ambassador Siebert also stated that he did not recall having set-up any meetings for or having attended any meetings with Ambassador HOLBROOKE. Ambassador Siebert was also shown a copy of the May 15, 1996 letter (Tab 24), to him from Ambassador HOLBROOKE, which reads, in part: "On the calls for Wednesday, May 29, can we see Prime Minister Persson [redacted] [redacted] Ambassador Siebert stated that he had no specific recollection of having set-up those meetings. Ambassador Siebert stated that at Ambassador HOLBROOKE's prompting, he (Siebert), after having left Sweden, spoke to a CSFB official about potential employment with CSFB.

On October 9, 1998, OIG received Ambassador Siebert's archived correspondence files and official schedules for 1996 and 1997. A review of these files reflected the following pertinent entries (Tab 29):

- May 29, 1996, 1530 entry: "Accompany Amb Holbrooke to meet with [redacted] [redacted]"

- May 29, 1996, 1630 entry: "Accompany Amb Holbrooke to meet with [redacted]

[redacted] joined by [redacted]

- May 29, 1996, 1730 entry: "Accompany Amb Holbrooke to meet [redacted]

- May 30, 1996, 0930 entry: "Accompany Amb Holbrooke to meet [redacted]

Note: A review of the files also disclosed Ambassador Siebert's official schedule for September 3-4, 1996, and December 16-18, 1996, which included visits by then-Special Government Employee Ambassador HOLBROOKE as well as miscellaneous correspondence related to Ambassador HOLBROOKE. (Tab 30).

On November 4, 1998, [redacted] was re-interviewed. [redacted] was shown copies of Ambassador Siebert's official schedule for May 29, 1996 (Tab 29). [redacted] stated that [redacted] had a vague recollection that the CSFB representative, [redacted] did not go to the meeting; however, [redacted] also stated that [redacted] could not recall whether the 1630 meeting actually took place. [redacted] did not know why CSFB had requested [redacted] presence at the meeting. Further, [redacted] could not recall whether [redacted] attended any of the three meetings [redacted] was scheduled to attend as notetaker. (Tab 31)

On November 15, 1998, Ambassador Siebert was re-interviewed and stated that after February 1996, he had set-up many meetings for Ambassador HOLBROOKE to meet with host-government officials and that he (Siebert) would accompany Ambassador HOLBROOKE to those meetings. The meetings included Swedish Foreign Minister Hjelm-Wallen and other officials of the foreign ministry. Ambassador HOLBROOKE also had CSFB business meetings while in Sweden. According to Ambassador Siebert, for those meetings, Ambassador HOLBROOKE "would get out of the car and go." Ambassador Siebert stated that he never assisted Ambassador HOLBROOKE in the advancement of CSFB business. Ambassador Siebert stated that he was not sure what Ambassador HOLBROOKE's official status was at the time of his visits to Sweden, but he assumed Ambassador HOLBROOKE was still involved in Bosnian issues. Ambassador Siebert was shown a copy of his official schedule for May 28-30, 1996 (Tab 29), and asked whether he recalled having attended the following meetings as indicated on the schedule: May 29th meeting at 1530 hrs "Accompany Amb Holbrooke to meet with [redacted] and 1630 hrs "Accompany Amb Holbrooke to meet with [redacted] Joined by [redacted] of CS First Boston/Sweden [redacted]" Regarding the meeting with [redacted] Ambassador Siebert stated that [redacted] is a key foreign affairs player and that he (Siebert) probably went to that meeting with Ambassador HOLBROOKE. Regarding the meeting with [redacted] Ambassador HOLBROOKE, and [redacted] Ambassador Siebert stated that he had no specific recollection of the meeting. Regarding the May 30th meeting at 09:30 hrs "Accompany Amb Holbrooke to meet [redacted] (Brunkebergstorg 11, 9th floor -

[redacted] will meet at bank/notetaker)" Ambassador Siebert stated that he recalled being together with Ambassador HOLBROOKE, and [redacted] at some point in time. Ambassador Siebert stated that [redacted] could have requested the meeting with Ambassador HOLBROOKE. OIG reminded Ambassador Siebert that in his October 5, 1998, interview he stated that he had spoken with CSFB officials about the possibility of working for CSFB. Regarding the status of negotiations for a position with CSFB, Ambassador Siebert stated that there was a "zero likelihood" of his being employed by CSFB. Ambassador Siebert further stated that any discussions of such employment was just "coffee talk" between he and Ambassador HOLBROOKE. Ambassador Siebert stated he had gone to London recently to have dinner with [redacted] and his wife; however, potential employment was not a topic of discussion (Tab 32).

On November 20, 1998, Ambassador HOLBROOKE was interviewed. Regarding his May 27 - 30, 1996, trip to Sweden, Ambassador HOLBROOKE stated that the primary purpose for the trip was [redacted], but Ambassador Siebert was also "insistent" on taking him (HOLBROOKE) to see Swedish government officials to update them on the crisis in Bosnia. Regarding the letter from Ambassador HOLBROOKE's [redacted] to the U.S. Embassy Stockholm, requesting [redacted] presence in a meeting with Ambassadors HOLBROOKE and Siebert, along with [redacted] (Tab 26) Ambassador HOLBROOKE stated that he had never seen the letter before and did not request the meeting. Ambassador HOLBROOKE further stated that [redacted] wrote this request "on his own initiative for unexplained reasons." Regarding the May 30th meeting on Ambassador Siebert's schedule to "Accompany Amb Holbrooke to meet [redacted]" [redacted] Ambassador HOLBROOKE stated that he could not remember whether he met with [redacted] (Tab 12, pp 159-182)

2. Ambassador James Laney, U.S. Embassy, Seoul, Korea

On August 26, 1998, Simpson Thacher and Bartlett, the law firm representing Ambassador HOLBROOKE, provided documents pursuant to OIG's letter of request, dated August 6, 1998 (Tab 21). These documents included the following:

- March 21, 1996, letter from Vice Chairman Richard HOLBROOKE, to Ambassador James Laney, U.S. Embassy Korea, on CS First Boston letterhead, in which Ambassador HOLBROOKE writes, in part: "In addition, I would like to make a courtesy call on President Kim, whom I have not seen since my last meeting with him, the week he became President of Korea. He and I have known each other since 1978, and I believe it would be appropriate to call on him. I would be honored if you would be willing to set this meeting up, and if appropriate, join me at it. The best date would be May 10 or 11" (Tab 33)
- March 22, 1996, letter from Ambassador Laney, to "Mr. Richard Holbrooke, Vice Chairman, CS First Boston," in which Ambassador Laney writes, in part: "I am

delighted that you are coming to Korea and would be pleased to join you in a courtesy call on President Kim. I will work with the Blue House to set that up" (Tab 34).

- March 22, 1996, letter from Vice Chairman Richard Holbrooke, on CS First Boston letterhead, to Ambassador Laney. (Tab 35).
- April 19, 1996, letter from Ambassador Laney, to "Mr. Richard Holbrooke, Vice Chairman, CS First Boston," in which Ambassador Laney writes, in part: "I have talked to [redacted] at the Blue House, the [redacted] and [redacted]s confident that President Kim will want to see you. They haven't yet set a time but I informed [redacted] of the days of your being in Seoul." (Tab 36)
- April 26, 1996, letter from Ambassador Laney, to "Mr. Richard Holbrooke, Vice Chairman, CS First Boston," regarding the guest list for a lunch Ambassador Laney would be hosting during Ambassador HOLBROOKE's visit. (Tab 37)
- April 30, 1996, letter from Vice Chairman Richard Holbrooke, on CS First Boston letterhead, to Ambassador Laney, in which HOLBROOKE writes in part: "May I suggest, as a courtesy, that we invite the [redacted] to the lunch." (Tab 38)
- "Mr. Richard Holbrooke's" itinerary for his May 9 - 12, 1996, visit to Seoul, Korea. (Tab 39)

On September 14, 1998, OIG received all documentation on hand at the U.S. Embassy, Seoul, related to contacts and/or visits to that embassy by Ambassador HOLBROOKE. The following pertinent documents were received:

- Copy of Form OF-206, Purchase Order, Receiving Report and Voucher; for representational event: "Luncheon hosted by AMB in honor of The Honorable Richard C. Holbrooke at the residence." A guest list was also attached, which included two other CSFB executives. (Tab 40)

On October 19, 1998, OIG interviewed James Laney, former U.S. Ambassador to South Korea. Ambassador Laney recalled that Ambassador HOLBROOKE visited South Korea in the late Spring of 1996 to attend a meeting of the Asia Society. Ambassador Laney also recalled attending a ribbon cutting ceremony, with, and at the invitation of Ambassador HOLBROOKE at the new CSFB office in Seoul. Regarding the meeting with President Kim, Ambassador Laney stated that given the documents indicating there was a meeting, one must have taken place. However, Ambassador Laney could not recall the meeting or what was discussed. Ambassador Laney could not recall whether Ambassador HOLBROOKE brought any other CSFB representatives to the meeting with him, but doubted that he did. Ambassador Laney stated that he saw President Kim about every other week during his tenure as Ambassador. Regarding the luncheon that Ambassador Laney held in honor of Ambassador HOLBROOKE, Ambassador Laney stated that he had in mind that the luncheon would be used to discuss foreign affairs topics. Ambassador Laney stated he did not know the CSFB representatives who were present for the luncheon, and that he did not recall ever having seen them again. Ambassador Laney stated that if the luncheon had any value to CSFB, it would have been the opportunity for

Ambassador HOLBROOKE and the CSFB representatives to meet the South Korean representatives. Ambassador Laney could not recall whether CSFB business was discussed during the lunch. (Tab 41)

On November 20, 1998, Ambassador HOLBROOKE was interviewed and stated in a letter, dated March 21, 1996, that he requested Ambassador Laney set-up a meeting to include himself, Ambassador HOLBROOKE and President Kim, because it would have been inappropriate for him (HOLBROOKE) to make a courtesy call on President Kim, in which he would not discuss business, and "cut the ambassador out." Ambassador HOLBROOKE went on to say that it was an opportunity to help Ambassador Laney, since "ambassadorial access to people like President Kim Young Sam are very difficult." Ambassador HOLBROOKE also stated that the meeting never actually took place. (Tab 12, pp 182-184, 195-197)

3. Ambassador Jenonne Walker, U.S. Embassy Prague, Czech Republic

On August 26, 1998, Simpson Thacher and Bartlett, the law firm representing Ambassador HOLBROOKE, turned over documents pursuant to OIG's letter, dated August 6, 1998 (Tab 21). These documents included the following:

- April 17, 1996, letter from Vice Chairman Richard HOLBROOKE, to Ambassador Jenonne Walker, U.S. Embassy Prague, on CS First Boston letterhead, in which Ambassador HOLBROOKE writes, in part: "I will be visiting Prague on Tuesday, April 30 on behalf of my new firm, CS First Boston. Our representative in Budapest, [redacted] will be arranging some meetings on the business side. I also hope to call on Prime Minister Klaus, per his personal invitation to me when he was in Washington. If that meeting is arranged, I would be delighted if you wish to join me. It would not involve business, but rather consist of a discussion of general issues, particularly Bosnia and NATO" (Tab 42). April 18, 1996, fax from [redacted] U.S. Embassy Prague, to "Mr. Richard Holbrooke, Vice Chairman, CS First Boston, in which Hering writes, in part: "Ambassador Walker asked me to respond to your fax of April 17 concerning your visit to Prague April 30. If your call on the Prime Minister is arranged, she would be delighted to join you." (Tab 43)

On September 8, 1998, OIG received all documentation on hand at the U.S. Embassy, Prague, related to contacts and/or visits to that embassy by Ambassador HOLBROOKE. These documents included the following:

- The scheduling form for a reception in honor of Ambassador HOLBROOKE, hosted by Ambassador Walker, dated April 11, 1996. On the form, the purpose of the event is listed as "To Welcome CS First Boston Vice Chairman Richard Holbrooke to Prague." (Tab 44)
- The guest list for the reception, which indicated that the reception was held on April 30, 1996. (Tab 45)

- An itemized cost of the reception. (Tab 46)
- Notes regarding CSFB's payment for the reception. (Tab 47)

On October 6, 1998, OIG interviewed Jenonne Walker, former U.S. Ambassador to the Czech Republic. Ambassador Walker stated that during his visit to Prague Ambassador HOLBROOKE used the CSFB representative in Prague to set up all of his appointments. Ambassador Walker added that neither she nor anyone from the embassy accompanied Ambassador HOLBROOKE to any meetings. Despite the text of the letters, Ambassador Walker stated that she did not attend the meeting with the Prime Minister.

Regarding the reception held at the embassy for Ambassador HOLBROOKE, Ambassador Walker stated that a local representative of CSFB asked the embassy if CSFB could use the Ambassador's residence to host a reception for Ambassador HOLBROOKE. Ambassador Walker indicated that she granted permission as she would for any U.S. firm. Ambassador Walker stated that CSFB reimbursed the embassy for the cost of the reception. Ambassador Walker recalled that she made some opening remarks at the reception and that Ambassador HOLBROOKE talked about the Dayton Peace Accords. (Tab 48)

On November 20, 1998, Ambassador HOLBROOKE was interviewed. Ambassador HOLBROOKE stated that CSFB set-up the meeting with Prime Minister Klaus and that he (HOLBROOKE) invited Ambassador Walker to attend the meeting. Ambassador HOLBROOKE further stated that the meeting never actually took place. (Tab 12, pp 183-188)

4. Ambassador Rudolf Perina, Deputy Assistant Secretary of State for European and Canadian Affairs

On September 16, 1998, [redacted] Ambassador HOLBROOKE's [redacted] was interviewed. [redacted] Ambassador HOLBROOKE's [redacted]
A review of the file revealed a handwritten letter, on Richard HOLBROOKE's CS First Boston letterhead, dated June 26, 1996 (Tab 49). The letter reads: "Dear Rudy, Can you have someone look into this? [redacted] has been a big supporter, and it would be additionally nice to assist him. Please let me know asap what is going on. All the best, Dick." Attached to the letter are two additional letters, one from [redacted] Haverford College, to [redacted] Pincus Brothers-Maxwell; and the other from Pincus to [redacted] Both letters detail the general difficulty Bosnian students experience in trying to obtain student visas and the specific problem of a Bryn Mawr student named [redacted]

On September 22, 1998, [redacted] was telephonically interviewed and asked who Ambassador HOLBROOKE knew by the name of "Rudy." [redacted] stated that the only "Rudy" [redacted] could think of was Rudolf Perina. [redacted] thought that Perina was a Department of State employee. A review of Department of State files disclosed that Rudolf Perina was currently the U.S. Ambassador to Moldova.

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On September 22, 1998, Ambassador Perina was interviewed via telephone (Tab 50). Ambassador Perina stated that he could not specifically recall being contacted by Ambassador HOLBROOKE about a Bosnian student visa issue in 1996. After having the June 26, 1996, handwritten letter (Tab 49) read to him, Ambassador Perina stated he could vaguely recall the issue, but he could not recall what he did in response to the request. Ambassador Perina indicated that most likely he would have passed the request on to the Bosnia desk and asked for a response; however, Ambassador Perina stated he had no recollection regarding the outcome of the issue.

On October 2, 1998, Professor [redacted] was interviewed (Tab 51). [redacted] stated that [redacted] recalled discussing with [redacted] in general terms visa problems in Bosnia. [redacted] recalled that he referred [redacted] to the International Rescue Committee, of which [redacted] believed Ambassador HOLBROOKE was on the Board of Directors. [redacted] stated that [redacted] did not discuss visa problems with Ambassador HOLBROOKE and that he did not recall contacting anyone else at the Department of State about Bosnian student visa problems.

On November 20, 1998, Ambassador HOLBROOKE was interviewed and stated that at some point after leaving the government, he received a letter from [redacted] which enclosed another letter concerning visa problems with some Bosnian students. Ambassador HOLBROOKE stated he simply forwarded the letter to then-EUR Senior Deputy Perina and asked Perina to take whatever action was appropriate. Ambassador HOLBROOKE further stated that he asked Perina to expedite the request because "that's what the Government's supposed to do" and also because [redacted] was a very strong supporter of the administration's policies on Bosnia as well as [redacted] and deserved special consideration, not on the outcome, but simply on the expedition of the request. And I did this as a special senior adviser on Bosnia and European security affairs to the bureau which I had once headed and which Perina was now senior deputy of." Ambassador HOLBROOKE provided OIG with a copy of a letter, dated July 12, 1996 (Tab 52), he received from Perina in which Perina detailed having looked into the request and the outcome. (Tab 12, pp 4-9).

Based on the foregoing (section III, above), OIG has reasonable grounds to believe there may have been violations of federal criminal law and is referring this matter to Department of Justice.

IV. Meals Purchased for Department Officials by Credit Suisse First Boston - 18 U.S.C. 201(c)

On August 28, 1998, OIG received the following document from [redacted] [redacted] CSFB, pursuant to the Inspector General Subpoena (Tab 20): CS First Boston Policies and Procedures, Section 04, Expenses, marked "CONFIDENTIAL CSFBC 000864 - 000871, 000885 - 000890, and 000898." (Tab 53). Section 04.01, Purpose, reads, in part: "The Expenses section of the Policy Manual is provided to set forth company-wide guidelines for incurring and reporting travel, entertainment and other business related expenses. Business

related expense policy defined in this section is deemed to include all costs incurred by an employee while conducting business for the Firm." Section 04.01, General Policy, reads, in part: "Business related expenses must exclude expenditures for employees' direct or indirect personal benefit and for non-employees (e.g., relatives and friends of employees)."

On September 16, 1998, OIG interviewed [REDACTED]

[REDACTED] CSFB. [REDACTED]

[REDACTED] was told that [REDACTED] was being interviewed regarding allegations of conflict of interest by Ambassador HOLBROOKE. Regarding CSFB's Travel and Expense (T&E) policy, [REDACTED] stated there are limitations on what expenses an employee can claim for business purposes. As one example of a proper reimbursable expense, [REDACTED] stated that an employee could claim his wife's expenses at an event if he were entertaining clients. [REDACTED] stated that all expenses claimed have to be related to CSFB business. (Tab 54)

On November 20, 1998, Ambassador HOLBROOKE was interviewed. Regarding travel and entertainment expenses, HOLBROOKE stated that CSFB agreed that he could be reimbursed for "purely social expenses" as well as business expenses. HOLBROOKE stated that [REDACTED] negotiated this verbal agreement with CSFB. HOLBROOKE also stated that CSFB's published policies and procedures for travel and entertainment expenses did not apply to him. (Tab 12, pp 37 - 66)

On December 15, 1998 [REDACTED] was re-interviewed. [REDACTED] stated that [REDACTED] negotiated the terms of HOLBROOKE's employment with [REDACTED]. Regarding travel and entertainment expenses, [REDACTED] stated that the intention was to reimburse for business expenses which benefit the firm. [REDACTED] also stated that as a Vice Chairman, HOLBROOKE has a great deal of latitude; however, expenses still need to be business related and that while [REDACTED] did not know specifically what CSFB's published rules for travel and entertainment expenses were, they do apply to all CSFB employees. [REDACTED] stated that the notion was that HOLBROOKE could

be reimbursed for those things that were business related. [] went on to state that if an expense is not business related then the employee should pay for the expense himself. HOLBROOKE could use his own judgment as to what is or is not a business expense. [] stated an example that HOLBROOKE could be reimbursed for hosting a dinner at his home for potential clients and talk about art over dinner. However, it's clear that he works for CSFB and there would be an expectation that he would follow-up possibly the next week with the attendees of the dinner to talk about the bond market or some other CSFB related business. [] stated that [] did not enter into a verbal agreement that HOLBROOKE could be reimbursed for expenses which were solely personal with no CSFB business interest. (Tab 56)

1. April 14, 1996 Dinner at Nora Restaurant for Several Department Officials

On August 28, 1998, OIG received the following document from [] CSFB, pursuant to the Inspector General Subpoena (Tab 20): CS First Boston Travel and Entertainment Voucher, marked "CONFIDENTIAL CSFBC 000255- 000261." The voucher included an entry: "4/14/96; Dinner-Nora's, D.C.; See attached guest list; \$2,765.00; European cont'd relations." (Tab 57). The voucher includes a "Guests Detail Report" which list the following individuals as having attended the dinner:

From September 21 to October 6, 1998 all of the above listed guests to the April 14, 1996, dinner, with the exception of [] were interviewed (Tab 58). All interviewees stated

that they were not aware of who paid for the dinner, but most assumed that Ambassador HOLBROOKE did. All of the interviewees stated that CSFB business was not discussed at the dinner and that Ambassador HOLBROOKE never asked them to take any action which could have benefited CSFB.

On September 16, 1998, OIG interviewed [REDACTED] CSFB. [REDACTED] was shown the T&E voucher for the April 14, 1996, dinner at Nora Restaurant. [REDACTED] identified [REDACTED] as an executive of [REDACTED] which is a CSFB client. [REDACTED] stated [REDACTED] did not recognize any of the other names on the list and said that they were "irrelevant." [REDACTED] surmised that because [REDACTED] was present, then the dinner was organized around him for CSFB business. [REDACTED] advised that [REDACTED] did not know the specific purpose of the dinner. When shown that the purpose listed on the voucher was "European continued relations," [REDACTED] was unable to answer what that meant. (Tab 54)

On November 20, 1998, Ambassador HOLBROOKE was interviewed. Ambassador HOLBROOKE stated that the April 14, 1996, dinner at Nora Restaurant was a social dinner for the purpose of "gathering some old friends, cherished friends, some of whom were in the Government, some of whom were not." Ambassador HOLBROOKE stated that no business was discussed at the dinner. Ambassador HOLBROOKE indicated that one person in attendance, [REDACTED] was a client of CSFB. Ambassador HOLBROOKE stated that he did not ask any of the government officials in attendance at the dinner to take any actions which would have benefited himself or CSFB. Ambassador HOLBROOKE also stated that he was not aware of any prior actions taken by the government officials in attendance at the dinner which would have benefited himself or CSFB. Ambassador HOLBROOKE stated that the term "European continued relations" listed on the voucher to describe the purpose was not accurate. Ambassador HOLBROOKE stated the voucher should have reflected the purpose as "social event or dinner with -- dinner with guest list." (Tab 12, pp 66-67, 75, 79-84, 95-111)

2. April 16, 1996 Lunch at I Ricchi Restaurant for Several Department Officials

On August 28, 1998, OIG received the following document from CSFB, pursuant to the Inspector General Subpoena (Tab 20): CS First Boston Travel and Entertainment Voucher, marked "CONFIDENTIAL CSFBC 000821 - 000832." The voucher includes an entry: "4/16/96; Lunch, I Ricchi, D.C.; See attached; \$423.72; [REDACTED] lunch." The voucher includes a "Guests Detail Report" which lists the following individuals as having attended the lunch (Tab 59):

Amb. Collins - State Department, D.C.
Amb. Larkin - State Department, D.C.

From September 22 to October 16, 1998, all of the above listed guests to the April 16, 1996, lunch were interviewed, with the exception of [REDACTED]. All interviewees stated that they were not aware of who paid for the lunch, but most assumed that Ambassador HOLBROOKE did. All of the interviewees stated that CSFB business was not discussed at the dinner and that Ambassador HOLBROOKE did not request any action from them which could have benefited CSFB. (Tab 60)

On November 20, 1998, Ambassador HOLBROOKE was interviewed and stated that the purpose for the April 16, 1996, lunch at I Ricchi Restaurant was "to gather together friends, in this case at a lower level, and mainly Assistant Secretaries, and one Under Secretary, just to get caught up on old times, to reminisce, and because I was wearing a Government hat, specifically in the case of some of them, probably to discuss ongoing issues related to the crisis in Bosnia." Ambassador HOLBROOKE stated that he did not ask any of the government officials in attendance at the lunch to take any actions which would have benefited himself or CSFB. (Tab 12, pp 111-118)

3. October 18, 1996 Lunch at Four Seasons Restaurant for Ambassador Frank Wisner

On August 28, 1998, OIG received the following document from CSFB, pursuant to the Inspector General Subpoena (Tab 20): CS First Boston Travel and Entertainment Voucher, marked "CONFIDENTIAL CSFBC 000376 - 000383." The voucher includes an entry: "10/18/96; Lunch; Four Seasons Rest.; US Amb. Frank Wisner (India), O.Sarkozy, CS; \$343.72; India branch office." The voucher includes a receipt and handwritten note: "10/18/96 - US Amb Frank Wisner (India) MD21." (Tab 61)

On November 20, 1998, Ambassador HOLBROOKE was interviewed. Ambassador HOLBROOKE stated that the purpose for the October 18, 1996, lunch at Four Seasons Restaurant with Ambassador Wisner and [REDACTED] who also happens to be a CSFB colleague, was: "Frank Wisner is my oldest friend in the Government and one of my closest. [REDACTED] is one of my colleagues at CS First Boston. He was in town. We just

wanted to get together, and [redacted] and I just wanted to take him out to a really nice lunch and talk about family matters." Ambassador HOLBROOKE stated that he did not ask Ambassador Wisner to take any actions which would have benefited himself or CSFB. (Tab 12, pp 119-129)

[redacted]

4. October 28, 1996, Dinner at Ambassador HOLBROOKE's Residence for Deputy Secretary Talbott

On August 28, 1998, OIG received the following document from CSFB, pursuant to the Inspector General Subpoena (Tab 20): CS First Boston Travel and Entertainment Voucher, marked "CONFIDENTIAL CSFBC 000473 - 000485." The voucher includes an entry: "10/28/96; Dinner hosted at residence; See attached list; \$1,235.02; Harriman Institute Speech." The voucher includes a guest list, titled: "Dinner in honor of Deputy Secretary of State Strobe Talbott October 28, 1996," which list the following individuals as having attended the dinner (Tab 62):

[redacted]

On September 16, 1998, OIG interviewed [redacted] CSFB. [redacted] was provided with the T&E voucher for the dinner held for Deputy Secretary of State Talbott and asked why CSFB paid for the dinner. [redacted] stated [redacted] did not know why the dinner was held and did not know what the topic of discussions were. [redacted] identified [redacted] signature on the T&E voucher as having approved the voucher for payment. (Tab 54)

On October 6 and 7, 1998, Deputy Secretary Talbott, Dr. Rupp, Ambassador Grunwald, and [redacted] were interviewed. All interviewees were in agreement that [redacted] and [redacted] were not present for the dinner. Deputy Secretary Talbott and Ambassador Grunwald were also in agreement that CSFB business was not discussed at this dinner and that Ambassador HOLBROOKE did not ask either one of them to take any actions which would have benefited himself or CSFB. (Tab 63)

On November 20, 1998, Ambassador HOLBROOKE was interviewed and stated that the purpose for the October 28, 1996, dinner at Ambassador HOLBROOKE's home was: "Just a dinner with a very dear friend and some of his friends." Ambassador HOLBROOKE stated that the dinner

was a social event and had no business purpose. Ambassador HOLBROOKE also stated that the guest list was not correct. He stated that [redacted] was not present, he had no recollection of the [redacted] being present, and stated that other people may have been present who did not appear on the list. (Tab 12, pp 129-134)

5. January 17, 1997 Lunch at Epomeo Restaurant for DCM [redacted]

On August 28, 1998, OIG received the following document from CSFB, pursuant to the Inspector General Subpoena (Tab 20): CS First Boston Travel and Entertainment Voucher, marked "CONFIDENTIAL CSFBC 000402 - 000411." The voucher includes an entry: "1/17/97; Lunch, Berlin [redacted] \$60.09; German new business." The voucher includes a receipt from "Ristorante EPOMEIO" with a handwritten note: "USD 60.09 Lunch [redacted] MG95)." (Tab 64)

On October 5, 1998, [redacted] U.S. Embassy Bonn, and currently [redacted] DOS, was interviewed and stated that although [redacted] could not recall the date [redacted] did recall having a meal with Ambassador HOLBROOKE at a Greek-style restaurant in Berlin. [redacted] could not recall whether this meal took place while Ambassador HOLBROOKE was still ambassador to Germany or at a later time. [redacted] could not recall what the topics of discussion were during the meal but stated that the only time Ambassador HOLBROOKE ever talked about CSFB business to [redacted] was when Ambassador HOLBROOKE mentioned that CSFB was considering setting up a Holocaust fund. [redacted] stated that [redacted] neither participated in setting-up any meetings for, nor attended any meetings with Ambassador HOLBROOKE while Ambassador HOLBROOKE was visiting Germany on CSFB business. [redacted] concluded by stating that Ambassador HOLBROOKE never asked [redacted] to take any actions which could have benefited CSFB. (Tab 65)

On November 20, 1998, Ambassador HOLBROOKE was interviewed and stated that the purpose for the January 17, 1997, lunch with [redacted] was: "Same reasons as for the I Ricchi lunch [redacted] was a friend, good Foreign Service officer. We were getting together to discuss policy issues and get caught up on social things, and I picked up the tab." Ambassador HOLBROOKE stated that he did not ask [redacted] to take any actions on behalf of CSFB. (Tab 12, pp 138-144)

6. February 20, 1997 Dinner at Capriani's Restaurant for UnderSecretary Tarnoff

On August 28, 1998, OIG received the following document from CSFB, pursuant to the Inspector General Subpoena (Tab 20): CS First Boston Travel and Entertainment Voucher, marked "CONFIDENTIAL CSFBC 000371 - 000375." The voucher included an entry: "02/20/97; Dinner - Capriani's-NYC [redacted] \$255.04; Diplomatic Relations." The voucher included a receipt with a handwritten note: "Dinner [redacted] (1234) General." (Tab 66)

On September 16, 1998, OIG interviewed [redacted] CSFB. [redacted] was shown the T&E voucher for this dinner with [redacted] and asked about the CSFB purpose of the dinner. [redacted] stated that he had no idea who [redacted] was and stated [redacted] did not know the purpose of the dinner. (Tab 54)

On November 2, 1998, [redacted] was interviewed and stated that [redacted] could not specifically recall having dinner with Ambassador HOLBROOKE at Capriani's restaurant on February 20, 1997. [redacted] stated that [redacted] was not denying the dinner occurred [redacted] just could not recall the event. When asked why CSFB paid for the dinner, [redacted] stated that [redacted] did not know what CSFB's rules are regarding entertainment. [redacted] stated that [redacted] assumed [redacted] and Ambassador HOLBROOKE would have discussed world affairs during the dinner. [redacted] added that Ambassador HOLBROOKE has never asked [redacted] to take any action on behalf of CSFB, nor have they ever discussed specific CSFB projects. (Tab 67)

On November 20, 1998, Ambassador HOLBROOKE was interviewed and stated that the purpose for the February 20, 1997, dinner with [redacted] was: [redacted] was another one of my oldest friends [redacted] was one of the key people I interacted with during the wearing of my special government employee hat. I hadn't seen [redacted] in a long time. They were in New York. I took them out to dinner. Business was never discussed." (Tab 12, pp 149-151)

Based on the foregoing (section IV, above), OIG is referring this matter to Department of Justice for a determination of whether there has been a violation of federal criminal law or other ramifications of this conduct.

V. Ambassador HOLBROOKE's Book

b7C Per DOS

1. *Ambassador HOLBROOKE's [redacted] Present During Dayton Accords*

On October 13, 1998, OIG interviewed a confidential source (CS-1), who stated that during the Dayton Peace Accords, Ambassador HOLBROOKE had [redacted] [redacted] during the negotiations. CS-1 alleged that Marton took notes using a laptop computer and there was a problem because [redacted] did not have a security clearance. CS-1 believed that [redacted] was contacted regarding the issue at the time. CS-1 told OIG that this information came to [redacted] second hand and [redacted] was concerned because Ambassador HOLBROOKE authored a book, *To End a War*, about the Accords after he left the Department. (Tab 68)

On October 15, 1998, OIG interviewed [redacted] who stated that after the Dayton Accords were completed [redacted] was called into a meeting in the office of Deputy Secretary of State Strobe Talbott to discuss the [redacted] issue. The primary concern of the DOS, as discussed in the meeting, was that [redacted] would write an unauthorized book or article about the Accords. Thessin stated that it was ultimately decided that DOS would ask [redacted] to sign a non-disclosure agreement, which [redacted] agreed to do. (Tab 69)

When interviewed by OIG regarding this issue, Ambassador HOLBROOKE emphatically denied that [redacted] used a laptop computer to take notes during the Dayton Accords and added that [redacted] did not take notes of any kind during the negotiations. Ambassador HOLBROOKE stated that [redacted] was present for one meeting with [redacted] and that she had a notepad on which [redacted] made some doodles, but did not take any notes. [redacted]

Although [redacted] did attend at least one meeting on the Dayton Accords, no evidence was developed that [redacted] recorded the event in any way or misused any information obtained from such a meeting.

2. *Ambassador HOLBROOKE's Receipt Of Classified Information*

During the investigation, OIG received an anonymous complaint alleging that former [redacted] [redacted] passed classified material to Ambassador HOLBROOKE for use in Ambassador HOLBROOKE's "memoirs." The complainant further alleged that [redacted] prepared the material in question for publication by Ambassador HOLBROOKE by photocopying it and cutting off the classification markings.

On September 4, 1995, Ambassador HOLBROOKE and [redacted] met in Athens with then-Prime Minister of Greece Andreas Papandreou to discuss an issue involving the former

Yugoslavian Republic of Macedonia (FYROM). The events surrounding this meeting were discussed in Ambassador HOLBROOKE's book, *To End a War*, on pages 121-127. The OIG further determined that after the September 4, 1995, meeting, [redacted] sent an "official informal" reporting telegram, classified SECRET, to [redacted] in [redacted].

On October 20, 1998, OIG interviewed and obtained a sworn written statement from [redacted] Ambassador to Greece Thomas M.T. Niles. [redacted] stated that on February 26, 1997, [redacted] observed [redacted] use a paper cutter to snip the top and bottom classification markings off a classified telegram and deposit the clippings in the wastebasket. [redacted] further stated that [redacted] overheard [redacted] portion of a telephone conversation in which [redacted] indicated that [redacted] had the information in question and that [redacted] would meet Ambassador HOLBROOKE in the courtyard in front of the embassy. During [redacted] interview, [redacted] stated that [redacted] reported this incident to Ambassador Niles shortly after it occurred.

(Tab 70)

On October 22, 1998, OIG interviewed Ambassador Niles, who confirmed that [redacted] brought the matter of [redacted] passing the classified telegram to Ambassador HOLBROOKE to his attention shortly after the incident occurred in February 1997. Ambassador Niles stated that he neither raised the issue to [redacted] nor to anyone else, even though he was aware that had [redacted] turned over the cable to Ambassador HOLBROOKE as stated by [redacted] this was a technical violation of the rules concerning disclosure of classified information. Ambassador Niles indicated that [redacted] was not disclosing to Ambassador HOLBROOKE any information of which he was not already aware. (Tab 71)

On October 22, 1998, OIG interviewed [redacted] [redacted] stated that [redacted] recalled that [redacted] had retrieved a telegram from the embassy files with the intention of giving it or sending it to Ambassador HOLBROOKE. [redacted] did not know the classification level of the telegram, nor did [redacted] see [redacted] remove the classification markings from the telegram. (Tab 72)

On October 29, 1998, OIG interviewed [redacted] who denied that [redacted] cut the classification markings from the telegram in question for the purpose of giving it to Ambassador HOLBROOKE. [redacted] remembered discussing the September 4, 1995, meeting with Ambassador HOLBROOKE during Ambassador HOLBROOKE's February 1997 trip to Athens. (Tab 73)

When interviewed by OIG, Ambassador HOLBROOKE stated that he was unaware of the existence of the official informal telegram sent to [redacted] by [redacted] Ambassador HOLBROOKE stated that he had instructed [redacted] that he did not want an official reporting of the negotiations on [redacted] Ambassador HOLBROOKE denied that the information on pages 121-127 of his book, *To End a War*, came from the classified telegram. Ambassador HOLBROOKE stated that the information in his book was based upon his own personal memory of the events in question. Ambassador HOLBROOKE added that September

4, 1995, "is the kind of day you remember forever in great detail." [REDACTED]

[REDACTED]

Although there was some evidence of [REDACTED] efforts to provide Ambassador HOLBROOKE with certain classified information, OIG was unable to substantiate that Ambassador HOLBROOKE received such classified information, or that it was the source for material which was published in Ambassador HOLBROOKE's memoirs, which were reviewed and approved for publication by the Department of State. Based on the foregoing (section V, above), there does not appear to be a violation of federal criminal law.

ATTACHMENTS

- Tab 1. Anonymous letter of complaint received by the Office of Inspector General on July 8, 1998.
- Tab 2. CSFB letter dated February 14, 1996, signed by Ambassador HOLBROOKE, February 20, 1996
- Tab 3. Standard Form 50-B, Notification of Personnel Action, Resignation, 02-21-96.
- Tab 4. Chronology provided by Ambassador HOLBROOKE's lawyers.
- Tab 5. February 21, 1996, letter from Chief, Personnel Operations Division, to Ambassador HOLBROOKE.
- Tab 6. April 17, 1996, letter from Deputy Agency Ethics Official, to Ambassador HOLBROOKE; and 5/31/96 letter from Financial Disclosure Division to Ambassador HOLBROOKE.
- Tab 7. Cover page of Ambassador HOLBROOKE's Financial Disclosure Report, signed June 4, 1996.
- Tab 8. Standard Form 50-B, Notification of Personnel Action, Excepted Appointment, 07-15-96.
- Tab 9. Ambassador HOLBROOKE's Appointment Affidavit, signed and dated July 15, 1996.
- Tab 10. Information of Record Form, Interview of Secretary Warren Christopher, September 21 & 22, 1998.
- Tab 11. Information of Record Form, Interview of Ambassador John Kornblum, December 1, 1998.
- Tab 12. Transcript of Ambassador HOLBROOKE's interview, November 20, 1998.
- Tab 13. Information of Record Form, Interview of Ambassador Donald Blinken, July 17, 1998.
- Tab 14. Information of Record Form [redacted] CSFB, July 24, 1998.
- Tab 15. Information of Record Form, [redacted] July 28, 1998.
- Tab 16. Information of Record Form [redacted] CSFB, August 12, 1998.
- Tab 17. Information of Record Form, [redacted] CSFB, August 13, 1998.

- Tab 18. Information of Record Form, Interview of [redacted] August 18, 1998.
- Tab 19. Information of Record Form, Interview of [redacted] CSFB, August 20, 1998.
- Tab 20. Inspector General Subpoena to CSFB, August 13, 1998.
- Tab 21. August 6, 1998, OIG letter to Ambassador HOLBROOKE's [redacted]
- Tab 22. Itineraries for Ambassador HOLBROOKE's visits to Sweden, September 2-11 and December 17-18, 1996.
- Tab 23. April 16, 1996 letter from Ambassador Siebert to Ambassador HOLBROOKE, with attachment.
- Tab 24. May 15, 1996 letter from Ambassador HOLBROOKE to Ambassador Siebert, with attachment.
- Tab 25. Information of Record Form, Interview of [redacted] September 3, 1998.
- Tab 26. May 20, 1998 letter from [redacted]
- Tab 27. Itinerary for Ambassador HOLBROOKE's May 27-30, 1996 visit to Stockholm, with attachment.
- Tab 28. Information of Record Form, Interview of Ambassador Siebert, October 5, 1998.
- Tab 29. Ambassador Siebert's official schedule for May 28 - 30, 1996.
- Tab 30. Ambassador Siebert's official schedule for September 3 - 4, 1996; December 16 - 18, 1996; and miscellaneous correspondence.
- Tab 31. Information of Record Form, Interview of [redacted] November 4, 1998.
- Tab 32. Information of Record Form, Interview of Ambassador Siebert, November 15, 1998.
- Tab 33. March 21, 1996 letter from Ambassador HOLBROOKE to Ambassador Laney.
- Tab 34. March 22, 1996 letter from Ambassador Laney to Ambassador HOLBROOKE.
- Tab 35. March 22, 1996 letter from Ambassador HOLBROOKE to Ambassador Laney.
- Tab 36. April 19, 1996 letter from Ambassador Laney to Ambassador HOLBROOKE.

- Tab 37. April 26, 1996 letter from Ambassador Laney to Ambassador HOLBROOKE.
- Tab 38. April 30, 1996 letter from Ambassador HOLBROOKE to Ambassador Laney.
- Tab 39. Ambassador HOLBROOKE's itinerary for May 9-12, 1996 visit to Seoul, Korea.
- Tab 40. Form OF-206, Purchase Order, Receiving Report and Voucher.
- Tab 41. Information of Record Form, Interview of Ambassador Laney, October 19, 1998.
- Tab 42. April 17, 1996 letter from Ambassador HOLBROOKE to Ambassador Walker.
- Tab 43. April 18, 1996 letter from [redacted] to Ambassador HOLBROOKE.
- Tab 44. April 11, 1996 scheduling form for a reception in honor of Ambassador HOLBROOKE.
- Tab 45. Guest list for April 30, 1996 reception.
- Tab 46. At-Home Representational Itemized List of Costs.
- Tab 47. Handwritten notes on [redacted] stationary.
- Tab 48. Information of Record Form, Interview of Ambassador Walker, October 6, 1998.
- Tab 49. June 26, 1996 handwritten note from Ambassador HOLBROOKE to [redacted] May 30, 1996 letter from [redacted] and May 29, 1996 letter from [redacted] to [redacted]
- Tab 50. Information of Record Form, Interview of Ambassador Perina, September 22, 1998.
- Tab 51. Information of Record Form, Interview of [redacted] October 2, 1998.
- Tab 52. July 12, 1996 letter from Ambassador Perina to Ambassador HOLBROOKE.
- Tab 53. CSFB Policies and Procedures, Section 04, Expenses.
- Tab 54. Information of Record Form, Interview of [redacted] CSFB, September 16, 1998.
- Tab 55. Information of Record Form, Interview of [redacted] CSFB, September 16, 1998.
- Tab 56. Information of Record Form, Interview of [redacted] SFB, December 15, 1998.

- Tab 57. CSFB Travel and Entertainment Voucher, CSFB 000255 - 000261.
- Tab 58. Information of Records Form, Interviews of Ambassador John Kornblum, October 6, 1998; [redacted] September 28, 1998; [redacted] September 21, 1998; and [redacted] September 22, 1998.
- Tab 59. CSFB Travel and Entertainment Voucher, CSFB 000821 - 000832.
- Tab 60. Information of Records Form, Interviews of Ambassador John Kornblum, October 6, 1998; [redacted] September 22, 1998; Ambassador James Collins, October 15, 1998; and [redacted] October 16, 1998.
- Tab 61. CSFB Travel and Entertainment Voucher, CSFB 000376 - 000383.
- Tab 62. CSFB Travel and Entertainment Voucher, CSFB 000473 - 000485.
- Tab 63. Information of Records Form, Interviews of [redacted] October 7, 1998; and [redacted] October 6, 1998.
- Tab 64. CSFB Travel and Entertainment Voucher, CSFB 000402 - 000411.
- Tab 65. Information of Record Form, Interview of [redacted] October 5, 1998.
- Tab 66. CSFB Travel and Entertainment Voucher, CSFB 000371 - 000375.
- Tab 67. Information of Record Form, Interview of [redacted] November 2, 1998.
- Tab 68. Information of Record Form, CS-1, October 13, 1998.
- Tab 69. Information of Record Form, [redacted] October 15, 1998.
- Tab 70. Information of Record Form, [redacted] October 20, 1998, 1998.
- Tab 71. Information of Record Form, Ambassador Thomas M.T. Niles, October 22, 1998.
- Tab 72. Information of Record Form, [redacted], October 22, 1998.
- Tab 73. Information of Record Form, [redacted] October 29, 1998.

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UNITED STATES DEPARTMENT OF STATE

INSPECTOR GENERAL INVESTIGATION

IN THE

MATTER OF

AMBASSADOR RICHARD HOLBROOKE

CASE NO. 98-116

9:00 a.m.

Friday, November 20, 1998

Washington, D.C.

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APPEARANCES:

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P R O C E E D I N G S

1 [REDACTED]
2 [REDACTED] Today is November 20, 1998,
3 approximately 0905 hours. Present is Ambassador
4 Richard Holbrooke. We're at the State Department's
5 Office of Inspector General conference room at Main
6 State, and let me see, I guess we'll just go around
7 the room and kind of just state names and who we're
8 with. I'm Special Agent [REDACTED] with the Office
9 of Inspector General.

10 [REDACTED] Special Agent [REDACTED]
11 [REDACTED] with the Office of Inspector General.
12 [REDACTED] with Simpson,
13 Thacher & Bartlett.

14 [REDACTED] I'm [REDACTED] with
15 Simpson, Thacher & Bartlett.

16 AMBASSADOR HOLBROOKE: Richard Holbrooke.
17 [REDACTED] Simpson,
18 Thacher, for Richard Holbrooke.

19 [REDACTED] with the
20 Department of Justice.

21 [REDACTED] And [REDACTED] -have I said that
22 right?--is doing the recording for us.

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1 First of all, your status as of today,
2 sir, you are still a special Government employee?

3 AMBASSADOR HOLBROOKE: Yes.

4 [] Okay. So we will then proceed
5 at the Garrity (ph) advisement. I'm going to hand
6 Mr. Holbrooke an Employee Advisement of Rights,
7 Non-custodial. If you could just read that form?
8 And if you understand it, go ahead and sign and
9 date it.

10 AMBASSADOR HOLBROOKE: What's the date
11 today? The 20th?

12 [] The 20th, yes.

13 [Form signed by parties.]

14 [] Thank you.

15 [] And I'll sign it as a
16 witness, []

17 [] You understood the form and
18 have no questions; I presume?

19 AMBASSADOR HOLBROOKE: I don't know if I
20 understood it, but I have no questions.

21 [] Okay. We'll start. Ambassador
22 Holbrooke, tell me about the circumstances

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1 surrounding your having asked Ambassador Perina,
2 Rudolph Perina, to look into a visa problem related
3 to Bosnian students.

4 AMBASSADOR HOLBROOKE: I have almost no
5 recollection of this except that--I actually had no
6 recollection of it until I refreshed my memory by
7 looking at the documents we turned over to you.

8 Sometime after I left the Government, I
9 received a letter from a personal friend, [REDACTED]
10 [REDACTED] enclosing another letter concerning a visa
11 problem of some Bosnian students. I knew nothing
12 about it. I simply forwarded it to Rudy Perina,
13 the senior deputy in the European Bureau, asked him
14 to take whatever action was appropriate. I
15 suggested he expedite it because, first of all,
16 that's what the Government's supposed to do, which
17 is to serve the interests of people, and these are
18 problems have a tendency to get hung up and because
19 Elie Wiesel was a very strong supporter of the
20 administration's policies on Bosnia as well as [REDACTED]
21 [REDACTED] and deserved special
22 consideration, not on the outcome but simply on the

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1 expedition of the request. And I did this as a
2 special senior adviser on Bosnia and European
3 Security Affairs to the bureau which I had once
4 headed and which Perina was now senior deputy of.
5 That was my entire involvement with it.

6 [REDACTED] What was the outcome of--

7 AMBASSADOR HOLBROOKE: I do not know. I
8 had no interest in the outcome. I had only the
9 interest in it being done expeditiously.

10 [REDACTED] Did Ambassador Perina provide
11 you with any feedback?

12 AMBASSADOR HOLBROOKE: Apparently, he
13 wrote me a letter, which I had no memory of until I
14 checked the files at your request, outlining what
15 had happened. I barely glanced at it.

16 [REDACTED] Do you have a copy of that
17 letter?

18 AMBASSADOR HOLBROOKE: I think we do. I
19 think it was supplied to you. Was it not supplied?

20 [REDACTED] We don't have a letter from
21 Ambassador Perina.

22 [REDACTED] I can get you one. I may be

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1 able to get you one today.

2 [REDACTED] But there is a letter from him?

3 AMBASSADOR HOLBROOKE: Yes.

4 [REDACTED] Yes.

5 Also, do you have the letter
6 from [REDACTED] referring the matter to you?

7 AMBASSADOR HOLBROOKE: I don't know. I
8 believe that--I believe we might have it somewhere.
9 I'll have to defer to [REDACTED]

10 [REDACTED] I don't believe I've ever
11 seen it.

12 [REDACTED] Okay, because I have not seen
13 one, and quite frankly, [REDACTED] when I spoke
14 with [REDACTED] did not recall directly--

15 AMBASSADOR HOLBROOKE: You mean a letter
16 from [REDACTED]

17 [REDACTED] Right. I thought you stated--

18 AMBASSADOR HOLBROOKE: I misunderstood.
19 No, I do not have a letter from [REDACTED] I
20 misunderstood you completely.

21 [REDACTED] Okay. That's fine.

22 So you got it directly from--or it was

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1 referred to you directly from [] versus
2 through the IRC, International Rescue Committee?

3 AMBASSADOR HOLBROOKE: I'm on the board of
4 the IRC, but I don't believe I had any contact with
5 [] in this matter. I have no memory of it.

6 [] Right. I hand you what
7 appears to be a Bates stamped document from Perina
8 to Holbrooke. Unless somehow it didn't make it
9 down to you, it's part of our production.

10 [] We produced that document to
11 you. It was part of our original production.

12 [] Okay.

13 [Pause.]

14 [] When was the last time you
15 spoke with Ambassador Perina?

16 AMBASSADOR HOLBROOKE: I have no idea.

17 [] Have you spoken with him about
18 the investigation and this aspect of the
19 investigation?

20 AMBASSADOR HOLBROOKE: I haven't spoken--I
21 don't even know what--I think he's--I don't even
22 remember where he's gone. I think he's overseas as

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1 Ambassador somewhere. I haven't spoken to him
2 since a year and a half.

3 [REDACTED] You have to speak up just a
4 little.

5 AMBASSADOR HOLBROOKE: I don't think I've
6 spoken to him in a year and a half.

7 [REDACTED] Okay.

8 AMBASSADOR HOLBROOKE: I don't even
9 remember where he went. I know he got an overseas
10 posting.

11 [REDACTED] And your letter to Ambassador
12 Perina--actually, you wrote, "Dear Rudy"--is dated
13 June 26th of 1996. What was your status with the
14 State Department at that time?

15 AMBASSADOR HOLBROOKE: Special Government
16 employee, senior adviser to the Secretary of State
17 and the Assistant Secretary for European Affairs
18 for Bosnia and General European Security Matters.

19 [REDACTED] Okay. This would be a good
20 time to transition into--I'd just kind of like to
21 cover your employee time line, if you will, and
22 kind of give you an opportunity to offer any

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1 information that may be different than what we
2 found in your personnel file.

3 According to your personnel file, you were
4 Assistant Secretary for European and Canadian
5 Affairs from September of '94 until February 21st
6 of 1996. Is that correct?

7 AMBASSADOR HOLBROOKE: Mm-hmm.

8 [REDACTED] Okay. And then, again,
9 according to your official personnel file, you then
10 swore in as a special Government employee on July
11 15, 1996.

12 AMBASSADOR HOLBROOKE: No. I took the
13 oath at 5:01 p.m. on February 21, 1996, in [REDACTED]
14 [REDACTED] office, the small office next to mine.

15 [REDACTED] Do you have a document--do you
16 have the oath?

17 AMBASSADOR HOLBROOKE: I don't have the
18 oath. I have a letter stating--dated that day
19 stating that I am--that I have become a senior
20 adviser, whatever the title--excuse me--and that I
21 then have to go ahead and do the backfill of
22 documents, fill out the financial disclosure and so

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1 on. This was at the specific request of many
2 people at the department.

3 I might just comment at this point on the
4 circumstances of my departure from the Government,
5 and I left rapidly for personal reasons [REDACTED]

6 [REDACTED] Bosnia was
7 at a moment of extreme crisis. The Secretary of
8 State, the President, and my ultimate successor as
9 Assistant Secretary, John Kornblum, who was not
10 confirmed for a while, all asked me to undertake
11 this, as well as many other people. And they--so
12 on the day I resigned as Assistant Secretary, I
13 immediately began to work with them on a continual
14 and, as it turned out, intense basis because an
15 enormous crisis hit Bosnia within days after I left
16 on things related to Bosnia and security issues in
17 Europe.

18 [REDACTED] In your personnel file, there
19 is a letter dated February 21, 1996, your last day
20 of Government service as Assistant Secretary for
21 EUR. It states, "We are pleased to confirm your
22 accepted service/temporary employment to the

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1 Department of State as a foreign affairs .
2 officer/expert in special Government employee
3 status. You will serve without compensation for
4 the duration of the appointment. This appointment
5 will become effective once a conflict-of-interest
6 determination is made by the Office of Ethics and
7 Personnel based on your submission of a
8 confidential financial disclosure report. When
9 your appointment becomes effective, it will be for
10 a period not to exceed one year, but may be . . .
11 terminated at any time." And then it goes on some
12 other--"As you will be working on a full-time
13 basis, you may only be reappointed for one
14 additional year for a maximum of two years."
15 So that document indicates that the
16 appointment would only become effective after your
17 financial disclosure document is reviewed,
18 submitted and reviewed, and then the other
19 documents in your personnel folder having to do
20 with the appointment and the financial disclosure
21 were--on April 17th of 1996 you were granted a 45-
22 day extension within which to file your termination

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1 public financial disclosure report, which was due
2 on February 21st. And then on May 31st, again, you
3 were faxed a note from the Department's Legal
4 Office, Financial Disclosure Division, that this is
5 a reminder to you that your '95-'96 executive
6 branch public financial disclosure termination
7 report has not yet been received, and the
8 extensions provided to you will expire close of
9 business June 5, 1996. No additional extensions
10 can be granted by our office, and in order to avoid
11 the late filing fee, you must file by June 5th.

12 And then I have a copy of your financial
13 disclosure report, the cover page which was
14 actually signed by you on June 4th, and then
15 reviewed July 29, '96, by the Legal Office. And
16 then the next document would be the actual
17 appointment affidavit, which includes the oath of
18 office, signed by you, subscribed and sworn on the
19 15th of July of 1996, which seems to indicate that
20 you actually had not sworn in, and there seems to
21 be a lack of any other documentation stating
22 otherwise, or any documentation showing that you

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1 did, in fact, swear in as a special Government
2 employee on January 21st.

3 And, again, I bring this up now--do you
4 have anything to offer--

5 [REDACTED] February.

6 [REDACTED] February 21st. I'm sorry. I
7 misspoke. And I offer it now, if you have anything
8 to offer to show otherwise other than what was in
9 your official personnel file indicating July 15th.

10 [REDACTED] We don't have any paperwork,
11 if that's what you're asking. There's no
12 paperwork--you have documents from his personnel
13 file that we have not seen, we don't have access
14 to, obviously, but we certainly don't have any
15 other paperwork that relates to this issue.

16 AMBASSADOR HOLBROOKE: I'm mystified by
17 this because I responded to a request by the
18 President of the United States or the Secretary of
19 State to continue to work on their behalf for no
20 compensation at a moment of extraordinary danger to
21 American national interests.

22 [REDACTED] Sure.

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1 AMBASSADOR HOLBROOKE: The war had
2 threatened to break out again, and you can check
3 the newspapers if you don't believe me. I was the-
4 -my successor was months from being sworn in and
5 didn't have the ability to do this.

6 Throughout the region, people didn't know
7 what to do. The President--

8 [REDACTED] Who swore you in? I'm sorry,
9 sir. Who swore you in on January 21st?

10 AMBASSADOR HOLBROOKE: February 21st?

11 [REDACTED] February 21st.

12 AMBASSADOR HOLBROOKE: I have no idea. It
13 was a kind of a jokey thing. We were having a
14 party, and we had gone to [REDACTED] office, and I
15 take the oath, and everybody says: You retired but
16 you're still with us.

17 [REDACTED] Who gave you that oath?

18 AMBASSADOR HOLBROOKE: I have no idea. I
19 don't know who did it.

20 [REDACTED] Did you sign a document at that
21 time?

22 AMBASSADOR HOLBROOKE: I don't remember.

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1 I thought I did, but since it isn't there, I can't
2 say whether I did or not. We were dealing with a
3 national emergency, and I was trying to respond
4 because I'd been in and out of the Government for
5 36 years to do what I could to help them at their
6 insistence and request, and they--everybody who's
7 ever worked in this building knows that the paper
8 flow has to be back--has to fill up and back up to
9 the event, and we'd all been through this many
10 times and had--and I was responding to a crisis
11 with a clearance and at their request, and I was
12 making trips at their request and giving them
13 advice at their request. And I was doing them a
14 favor.

15 [REDACTED] Who are "them"?

16 AMBASSADOR HOLBROOKE: "They"? The United
17 States Government, the President, the Secretary of
18 State. I was still being called to testify before
19 Congress on occasion. It was a period of intense
20 activity and very unusual because--

21 [REDACTED] I'll show you a copy of
22 actually which was provided by--

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1 AMBASSADOR HOLBROOKE: We've seen that.

2 [REDACTED] By you and your lawyers.

3 AMBASSADOR HOLBROOKE: This letter is
4 addressed to an address I--

5 [REDACTED] This letter is a letter of
6 February 21, '96.

7 AMBASSADOR HOLBROOKE: This February 21st
8 letter is addressed to a house which I had not
9 lived in for three years, so I have no idea when it
10 reached me or how it reached me.

11 [REDACTED] But it did come--

12 AMBASSADOR HOLBROOKE: You'll notice the
13 address is crossed out here.

14 [REDACTED] Sure. But this did come from
15 your file, [REDACTED] files.

16 AMBASSADOR HOLBROOKE: It reached--it
17 reached me, but I could not state when it reached
18 me since it's addressed to a house that I no longer
19 occupied and which did not have a forwarding
20 address.

21 [REDACTED] Sure, please.

22 [REDACTED] Who specifically asked you

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1 to take on this?

2 AMBASSADOR HOLBROOKE: The President.

3 [REDACTED] Personally.

4 AMBASSADOR HOLBROOKE: Mm-hmm, and the
5 Secretary of State.

6 [REDACTED] How did that request get
7 communicated? By telephone?

8 AMBASSADOR HOLBROOKE: When I--

9 [REDACTED] Meetings?

10 AMBASSADOR HOLBROOKE: Not meeting.
11 Meetings. I had told them when I returned from
12 Germany that I could only serve for about a year
13 and had to leave for New York because I was just
14 married. That year extended to 17 months because
15 of the crisis and because of the date of
16 negotiations. I left 90 days to the day after the
17 date. I left much earlier than I wish I had left
18 given the circumstances that then occurred, which
19 are that the situation in Bosnia got increasingly
20 precarious. I don't want to sound self-serving,
21 but I had been the central figure in the most
22 critical and difficult foreign policy action since

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1 the end of the Cold War and the one that endangered
2 American national security. I was the only person
3 with credibility with Milosevic, with Izetbegovic
4 and Tudjman, the three key leaders, as well as most
5 of the leaders of Europe. I wasn't the only person
6 with the leaders of Europe. There were other
7 people. But in some cases, I had the best
8 relationships. In the Balkans I had the only one.

9 When I told them I had to leave, they
10 asked me not to and asked me to delay, and I did
11 delay twice at their request. And finally--

12 [REDACTED] And "they" being?

13 AMBASSADOR HOLBROOKE: The President, the
14 Secretary of State, the Assistant Secretary who
15 succeeded me, Kornblum, and the chief of staff, Tom
16 Donilon, and the Deputy Secretary of State, Strobe
17 Talbott. All discussed my departure. Many people
18 did, [REDACTED]

19 [REDACTED] What time frame are we
20 talking about?

21 AMBASSADOR HOLBROOKE: Starting in--
22 starting even before Dayton and running right up to

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1 the last week. Right up to the last week. Two
2 days before I left the Government, I was in Rome
3 with the Secretary of State running a summit
4 conference of the Dayton participants. The
5 Secretary of State had called me from Damascus to
6 ask me to change my schedule and go to Rome and
7 pull this conference together, and then he joined
8 me there.

9 The situation could not have been more
10 dangerous. Less than 30 days after I left the
11 Government, the entire Serb suburbs of Sarajevo
12 were put to the torch by the Serbs. The situation
13 hung by a thread.

14 I would not have left the Government when
15 I did had I know that was going to happen because
16 my only responsibility here, all I cared about what
17 making this peace work. And that still is my major
18 and sole concern. Witness Kosovo.

19 They asked me to remain available. As it
20 turned out, the availability became far more
21 intense than any of us anticipated because none of
22 us anticipated how rapidly the situation would

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1 reach a crisis.

2 So I left the Government February 21st. I
3 was probably in touch with them for the first time--
4 -I don't know. I can't--but probably almost
5 immediately. And the interaction was intensive and
6 continuous.

7 And I'm proud of it because--but it was--
8 it was essential for the national interest and the
9 eyes of people who I had worked for and who held
10 jobs that I revered and which, if I could help
11 them, through them help the United States, I was
12 ready to do so.

13 Can you think of a specific-
14 -can you recall a specific conversation with either
15 the President or Secretary of State or any other
16 people--

17 AMBASSADOR HOLBROOKE: I talked to the
18 President on Air Force One on December 14, 1995, on
19 the way back from Paris after we signed the Dayton
20 agreements, in the front cabin of Air Force One
21 alone, told him I had to leave. He said, "I
22 understand why you have to leave. I appreciate the

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1 personal commitments you"--he said some nice words.
2 about my service and said, "I hope I can continue
3 to call on you." I said, "Of course. The
4 Secretary of State and I have already talked about
5 this."

6 My conversations with Warren Christopher,
7 Tom Donilon, and others, I cannot date so
8 precisely. One tends to remember conversations
9 with the President. But the conversations with
10 Christopher and Donilon, Talbott and Kornblum, were
11 continuous, and they were--you know, they were in
12 passing. [REDACTED] you're in a car, they say--you
13 know, and by the way, this wasn't a big issue.
14 They just said: "When you leave, we need to make
15 you a senior consultant. We need to keep using you
16 because we don't know what's going to happen."

17 The point I want to stress is not this
18 thing. This was routine that I would agree to do
19 this. What we didn't anticipate was that,
20 immediately after I left, the shit would hit the
21 fan and all hell would break loose in Sarajevo, and
22 that, therefore, it wasn't sort of checking in

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1 every few months. It was like, What do we do next?
2 And within a few weeks, I'm on the road again on a
3 presidential mission, and a mission which ended up
4 with the number one war criminal in the world
5 voluntarily stepping down and signing a peace of
6 paper after 15 hours of continuous negotiations. I
7 was doing this under these documents.

8 [REDACTED] What mission was that that
9 you're referring to?

10 AMBASSADOR HOLBROOKE: The July--the
11 mission to Belgrade in July, which was the
12 culmination of a whole series of discussions that
13 took place.

14 [REDACTED] Let's focus on February 21st to
15 July 15th. What specific taskings or missions were
16 you given by any senior Government officials?

17 AMBASSADOR HOLBROOKE: I can't--
18 [REDACTED] I'd just interject for one
19 second. The parts of the letter that you read, you
20 read accurately, but I do think that the last line
21 of the letter says, "I congratulate you on your
22 appointment," which to some extent suggests that

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1 obviously these others things--

2 [REDACTED] "I congratulate you on your
3 appointment and wish you great success"--you're
4 right, that is the final sentence of the letter.
5 However, again, earlier on in the letter, it
6 qualifies that it becomes effective under these
7 conditions.

8 [REDACTED] I understand. I just wanted
9 to--

10 [REDACTED] Yes.

11 [REDACTED] The letter as a whole--

12 [REDACTED] Quite frankly--yes, I imagine
13 that if someone submits a financial disclosure
14 report and it's reviewed or adjudicated, if you
15 will, with negative results, then clearly that
16 person would probably not be able to serve. So it
17 does have the qualification.

18 [REDACTED] If I can interject, I don't
19 think there's any mystery about this. As a
20 practical matter, the President of the United
21 States and the Secretary of State asked him to
22 continue continuously after February 21. I don't

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1 question that the letter indicates that the State
2 Department has certain technical requirements to
3 deal with to make that official. But as a factual
4 matter, they asked him just to continue, and he did
5 continue. And nobody said to him you can't do
6 anything because there's some paperwork that has to
7 be done at the State Department.

8 [REDACTED] Right. And that's my question,
9 which brings me to my question now. Between
10 February 21st of '96 and July 15th, if you could
11 just kind of cover what specific taskings or
12 missions were you asked to accomplish by any senior
13 Government officials.

14 AMBASSADOR HOLBROOKE: It's really tough,
15 [REDACTED] because you're talking about a period of
16 unexpected intensity, and I cannot reconstruct
17 every conversation and every tasking. Sometimes it
18 was advice. We've got a problem with so-and-so;
19 what do you think we should do? Sometimes it was:
20 Could you come to Washington and participate in a
21 meeting with the Secretary of State? Sometimes it
22 was: Could you carry a message for us on such-and-

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1 such a trip that you're making, anyway?

2 John Kornblum, who was my senior deputy
3 and then replaced me after he was confirmed as
4 Assistant Secretary, and I had an understanding
5 that whenever I made a trip overseas, I would tell
6 him about it; and if I was making a trip for my--on
7 behalf of CS First Boston, that I would let him
8 know, and sometimes he would say, well, that's very
9 useful, let us--could you do so-and-so?

10 On Bosnia, the unexpected crisis that hit
11 immediately after I left pulled us into most
12 intense discussions, discussions that I should add
13 cut so significantly into my time commitment to
14 First Boston that it had an adverse effect on my
15 business career. But that's another issue.

16 But the interaction was extraordinary.
17 You all have done this many times, but I will say
18 I've been--I started in the Government 36 years
19 ago. I've seen a variety of senior outside people
20 do special assignments. I never saw--I don't
21 believe you've had many situations quite like this
22 one. They--I resigned from the grade of Government

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1 precipitously, from their point of view and from
2 mine, and then they called on me continually. And
3 I was honored to do that because we weren't just
4 talking bureaucratic stuff. We were talking war
5 and peace, life and death. There were 20,000
6 American men and women being deployed into a
7 country. There was extreme concern people might
8 get killed. Thank God to this day not one American
9 has been killed or wounded in Bosnia. But that's a
10 result of what we were doing, and this was the
11 moment of maximum danger. And so the interaction
12 was continuous.

13 [REDACTED] Between February and July 15th
14 of '96, what instances can you recall, what
15 specific instances can you recall where the
16 President or Secretary of State or someone asked
17 you to hand-carry a note or do some type of tasking
18 on another trip that you were taking for another
19 purpose?

20 [REDACTED] Do you want him to do this
21 from memory now rather than--

22 [REDACTED] From memory or documents or

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1 calendars or whatever you have available.

2 [REDACTED] I don't want to slow this
3 down.

4 [REDACTED] Let me just jump in. Are
5 there documents? I mean, given the significance of
6 this, are there documents that you're aware of that
7 would memorialize any meetings, conversations,
8 reports, messages? And if you don't have them, can
9 you--

10 AMBASSADOR HOLBROOKE: I don't have no
11 classified documents.

12 [REDACTED] I'm not asking for
13 classified.

14 AMBASSADOR HOLBROOKE: They would be
15 classified, right? We're talking about highly
16 confidential matters.

17 [REDACTED] I don't know whether they'd
18 be classified or not, but--

19 AMBASSADOR HOLBROOKE: I take your point.
20 I don't have any documents on this stuff because I
21 don't keep that kind of--I don't keep records of my
22 Government activities.

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1 [REDACTED] If you looked at your
2 calendar about meetings you did, refresh your
3 recollection--

4 AMBASSADOR HOLBROOKE: You have my
5 calendar. It isn't always 100 percent accurate,
6 but you have the forward calendar.

7 Some of the meetings I remember very
8 vividly, [REDACTED] Some of the trips I remember
9 vividly. Others are very hazy. We're talking
10 about an intense period two and a half years ago.
11 I have two ways I can proceed, depending on your
12 preference. I can kind of ruminate, as we did last
13 time I saw you. When I reread the transcript, I
14 saw it was kind of a free association. Some of the
15 things I said were factually--I had dates mixed up
16 on everything because I didn't know what to prepare
17 for. Or we can work through it specific by
18 specific. I'll go whichever way you want.

19 [REDACTED] Do you have the calendars that
20 we produced available? Because we could have it
21 faxed from our office right now if that would be
22 useful.

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1 AMBASSADOR HOLBROOKE: How can I help you
2 in this? Do you want--how can I help?

3 [REDACTED] Well, the immediate question
4 is if there are documents other than the calendar,
5 which I guess we can have--if there are documents
6 that would in some way reflect the meetings and the
7 discussions.

8 AMBASSADOR HOLBROOKE: I have my schedule.
9 Here is one, for example, that shows that on
10 Saturday, April 13th, I met with Secretary
11 Christopher at 9:30 in the morning. That was a
12 Bosnia meeting in his office, and that evening I
13 had a dinner at [REDACTED], a member of our
14 negotiating team, which the Secretary of State was
15 at. That's just an example.

16 [REDACTED] This is, just for the record,
17 RCH 11, Bates number.

18 AMBASSADOR HOLBROOKE: [REDACTED] if that--if
19 you don't mind my calling you [REDACTED]

20 [REDACTED] I've been called worse.

21 AMBASSADOR HOLBROOKE: Well, tell me what
22 you want. I have definitely been called worse.

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1 Look, I really--it was extraordinary. It
2 was a continuous interaction because the crisis was
3 so much greater than expected and because--I don't
4 want to self-serving--because they really needed my
5 advice. And, secondly, [] asked about messages.
6 Yes, of course, I carried messages. I called
7 people--I called Milosevic on the phone at their
8 request. But I can't date those calls. And based
9 on our last conversation and the fact that memory
10 plays tricks, particularly chronological sequencing
11 memory, I may have things out of sequence. But one
12 thing is clear. Sarajevo was set to the torch
13 three weeks after I left the Government, and the
14 entire policy hung by a thread, and we saw it
15 coming and we didn't know what to do. And if I
16 could do it all over again, I never would have left
17 on February 21st. I would have stayed at least
18 another 60 days. I intensely regret that, and
19 everyone knows that.

20 I felt like--and they needed me, and I was
21 honored to continue to help them. I think the
22 highest obligation of a person in a situation like

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1 that is to do what is asked of him by his
2 Government. They'd ask me to call members of
3 Congress. They'd ask me to call foreign ministers
4 or Milosevic or Silajdzic, any one of a number of
5 people. They'd ask my advice. Sometimes the calls
6 would be two minutes, and sometimes they'd be an
7 hour.

8 [REDACTED] We produced certain phone
9 records. If you'd like, we can try to go back and
10 identify specific calls if that helps.

11 [REDACTED] I don't think it makes sense
12 to try to do that now.

13 [REDACTED] No, I don't mean now. If
14 you'd like me to do it, let me know. I'll do it
15 and have it for you on Monday.

16 [REDACTED] We're just trying to make
17 sure we have the universe of any documentation
18 about all these issues.

19 [REDACTED] I'm not referring to any new
20 documents because it's a big pain but I could do
21 it. We'll look through and identify specific phone
22 calls if you'd like.

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1 [REDACTED] Well, certainly anything that--
2 what I'm interested in is between February 21st and
3 July 15th of 1996, any phone calls or documents or
4 any taskings that Ambassador Holbrooke was given by
5 any Government officials. Because, quite frankly,
6 from the people that we interviewed who one would
7 think taskings might come from, no one could think
8 of anything specific that they had asked Ambassador
9 Holbrooke to do during that time frame. So
10 anything that you can provide--

11 [REDACTED] We can provide newspapers
12 clippings, too, and that will show--

13 AMBASSADOR HOLBROOKE: I don't understand.
14 I think--I don't understand this about the word
15 tasking. Surely nobody disputes the fact that we
16 were in continual contact and exchange of ideas and
17 advice and that they sought out my advice
18 continually.

19 [REDACTED] Who would you suggest would
20 be the best people for us to talk to to ask that
21 question? Other than Kornblum, obviously.

22 AMBASSADOR HOLBROOKE: John Kornblum,

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1 Strobe Talbott, Tom Donilon.

2 [REDACTED] Warren Christopher?

3 AMBASSADOR HOLBROOKE: Warren Christopher,
4 if you wish, although usually one didn't deal
5 directly with Chris. He was busy, but did it
6 through Donilon. [REDACTED]

7 [REDACTED]
8 Any number of--people in the field.

9 [REDACTED] John Kornblum--

10 AMBASSADOR HOLBROOKE: Yes, Kornblum's the
11 primary guy because he's taken over my job, and I
12 believe in the chain of command.

13 [Pause.]

14 AMBASSADOR HOLBROOKE: The fact that they
15 can't recall specific taskings is that the word
16 does not in any way change a perception that I'm
17 sure you all share that they kept using me
18 intensively after I left.

19 [Pause.]

20 [REDACTED] Again, no one could recall any
21 specific taskings. You mentioned that there were
22 letters or what-not you were asked to deliver. I'm

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1 trying to determine--

2 AMBASSADOR HOLBROOKE: It is not so I was
3 asked to deliver letters.

4 [REDACTED] Messages.

5 [REDACTED] I'm sorry, messages.

6 AMBASSADOR HOLBROOKE: I don't need to
7 deliver letters.

8 [REDACTED] Messages. Can you recall any
9 specifics during that time period?

10 AMBASSADOR HOLBROOKE: Certainly. When I
11 went to Budapest and Bratislava in April, I
12 specifically discussed with both the Ambassadors
13 and John Kornblum the trip in advance, told them I
14 was going there, and they said that it would be
15 important and useful to continue to push both
16 countries towards signing the state treaty between
17 Hungary and Slovakia governing the treatment of the
18 Hungarian minorities, number one; to stress that
19 that was linked to NATO enlargement, which both
20 countries wanted to join NATO; and this was
21 discussed with John Kornblum and with both
22 Ambassadors. And that's the first example that

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1 would come to mind, but plenty of others, but
2 that's the one you and I discussed last time, I
3 believe, although I was a little hazy on the
4 details.

5 And you even said to me that that was what
6 the complaint was based on, if my memory is
7 correct. In any case, that's a very specific
8 example.

9 But there were many others. I mean, this
10 was so continuous, And it wasn't--and I
11 want to stress, you're focusing on my messages and
12 actions on their behalf, but that misconstrues how
13 we interacted. Most of these discussions were
14 advisory: What do you think we should do next?

15 Sometimes I initiated the call. Sometimes
16 they did. Why would I initiate it? Because I was
17 asked for so doing it at the advice of the
18 Secretary of State. Why would they initiate it?
19 Because they wanted to know my views. Did you see
20 today's New York Times? What are we going to do
21 about this story or that story? Or we have an
22 intelligence report in today about problems in

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1 Sarajevo, what do you think we should do about
2 that?

3 [REDACTED] What is your understanding of
4 Credit Suisse First Boston's policy on
5 reimbursement for entertainment expenses?

6 AMBASSADOR HOLBROOKE: I'm not sure I
7 understand the question.

8 [REDACTED] When you--

9 AMBASSADOR HOLBROOKE: I don't know what
10 their policies are in a general rule. I have no
11 idea.

12 [REDACTED] Well, for you personally then,
13 in your mind, under what circumstances would you
14 voucher an entertainment expense?

15 AMBASSADOR HOLBROOKE: When I joined First
16 Boston--and its name at the time was CS First
17 Boston. When I joined CS First Boston, my
18 arrangements were negotiated by [REDACTED] There
19 was a number of very generous, if you'll pardon the
20 expression, perks that came with the job. They
21 would agree to a certain number of trips [REDACTED]
22 per year--I believe it was four--and they would

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1 support by paying for social events and they were
2 very supportive of this. This was- [] can
3 comment more on this. [] was the [] who had the
4 discussions with the firm about it. But they were
5 very supportive and very generous.

6 [] Again, in your mind, though,
7 what types of things would you voucher or did you
8 feel you could voucher?

9 AMBASSADOR HOLBROOKE: Because I left all
10 the expenses to [] I never saw an expense
11 account form until those were brought to this
12 meeting. I never actually signed one or saw one.
13 I would just turn over chits to [] bills, and []
14 would fill them out.

15 [] So it was up to [] what
16 was vouchered, what got on a Credit Suisse First
17 Boston voucher?

18 AMBASSADOR HOLBROOKE: No, no, because I
19 had a corporate credit card, and I used that. Your
20 question is what? I'm not sure I understand.

21 [] My question is: Under what
22 circumstances would you request reimbursement from

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1 Credit Suisse First Boston?

2 AMBASSADOR HOLBROOKE: On occasion, if I
3 held a dinner with people, if I was down here on
4 business and I wanted to take out some friends, and
5 I was here anyway, I might invite them out to
6 dinner and turn the chits over to [] and [] put
7 them on the T&E forms.

8 [] So it's your understanding--so
9 basically any dinner could be vouchered, or did it
10 have to be related to Credit Suisse First Boston
11 business, or what's your understanding?

12 AMBASSADOR HOLBROOKE: I wouldn't voucher
13 a personal dinner [] at the neighborhood
14 restaurant, if that's what you're trying to--

15 [] So you would not voucher a
16 personal dinner?

17 AMBASSADOR HOLBROOKE: No, no, that--

18 [] : Personal dinner []
19 []

20 AMBASSADOR HOLBROOKE: []

21 [] Okay.

22 AMBASSADOR HOLBROOKE: I mean, I have--no,

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1 I wouldn't do that.

2 [] I'm just trying to gain an
3 understanding of what your understanding of the--

4 AMBASSADOR HOLBROOKE: It was a little--it
5 was a gray area. It was a little vague because--I
6 can't give you an absolutely precise line, but I
7 came down here and invite on a trip--I came down
8 here on a trip, and I'd invite once in a while, not
9 often, I'd invite, oh, friends--some of whom

10 happened to be in the Government, some of them
11 didn't--to dinner, and I was here anyway, and I put
12 it on the First Boston corporate card and pass it
13 through to--give it to [], and that was the last I
14 ever saw of it. They approved it. It was
15 absolutely--I would defer, however, to []

16 on the generic because [] was the one who
17 negotiated the deal. [] can give you-- [] can add
18 if [] wishes, but it's very--it's...

19 [] I think what's important is
20 your understanding of it at the time.

21 AMBASSADOR HOLBROOKE: At the time?

22 [] I'm not trying to be difficult.

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1 [REDACTED] Sure.

2 AMBASSADOR HOLBROOKE: I'm just trying to
3 understand what the question's about. No business
4 was ever discussed at these issues if that's what
5 you're talking about.

6 [REDACTED] The reason for the question--

7 AMBASSADOR HOLBROOKE: Can I get some more
8 water?

9 [REDACTED] You had to make a call before
10 10:00. Do you want to do that now while we get
11 water?

12 [REDACTED] We'll break.

13 [Recess.]

14 AMBASSADOR HOLBROOKE: Two points I wanted
15 to raise. One is, there's one thing you said which
16 flabbergasts me, and I believe it's--I don't know
17 who said what to you, but you keep talking about
18 July 15th as a significant date. Before July 15th,
19 the Secretary of State, the President, the National
20 Security Adviser been discussing with me for a
21 considerable period of time an emergency trip to
22 Belgrade to deal with the Karadzic crisis, fully

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1 documented in the newspapers at the time. And that
2 is in addition to these lesser issues I talked
3 about earlier about the Hungarian-Slovak state
4 treaty and other things that I suspect you're going
5 to want to cover.

6 That trip didn't come out of nowhere. I
7 can't tell you the exact date I left, but I think
8 it was before the 15th of July or on the 15th.

9 [REDACTED] has your calendar.

10 [REDACTED] I'm just going through it,
11 Richard, and jotting down certain things as I go.

12 AMBASSADOR HOLBROOKE: You might go to
13 July. Go to July.

14 [REDACTED] Again, the reason we weren't
15 concerned with anything on July 15th or after was
16 because of the signed oath of office on that date.

17 AMBASSADOR HOLBROOKE: This didn't take
18 place--this was not--

19 [REDACTED] The Ambassador's point is
20 that trip didn't start--or, you know--this is
21 March. You've got Donilon, you've got Strobe.
22 These things are going on all through.

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1 AMBASSADOR HOLBROOKE: Here, for example,
2 [] March 6th, meeting with Tom Donilon; March
3 7th, 5:30 in the afternoon, call Strobe Talbott.
4 You know, it's very unusual to schedule a phone
5 call. You normally just call. These things were
6 continuous.

7 And this July schedule is not correct.
8 You have to check the newspaper accounts.
9 Actually, do you have--may I check the copy of the
10 book?

11 [] Sure. [Provides copy of
12 book.]

13 [Pause.]

14 AMBASSADOR HOLBROOKE: See, I wrote the
15 President in early June. He had requested me to
16 send his views from time to time. I wrote the
17 President, copies to Christopher, [] and Talbott
18 in early June about the crisis.

19 On the evening of Friday, July 12th, the
20 administration, facing growing international
21 criticism, asked if I would return to the region
22 immediately on a special mission. With the

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1 understanding and support of my new colleagues at
2 CSFB, I left three days later after a day in
3 Washington.

4 [REDACTED] Right, and you swore in on July
5 15th.

6 AMBASSADOR HOLBROOKE: That is--that's
7 either coincidental or some kind of backfilling
8 paperwork. The fact is that the lead-up to that
9 July 12th phone call--you don't just get a call out
10 of the blue. That call, as you all know--you're
11 experienced Government officials--is a major
12 presidential mission, is the culmination of weeks
13 of discussions internally. And so at the last
14 minute, maybe some bureaucrat says, wait a second,
15 this guy filed his papers a long time ago, and now
16 suddenly--and this is the way this building works;
17 it isn't the world's more efficient. It isn't
18 called the Fudge Factory for nothing. They say,
19 Holy shit, this guy is going out to Andrews and
20 getting on a U.S. Air Force jet--I'm making this
21 up, right? I don't have any memory of this, [REDACTED]
22 I'm trying to illustrate something all of us in

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1 this room know. They say, shit, we better give him
2 an oath.

3 I have no memory of that paper--

4 [REDACTED] Let me ask you--

5 AMBASSADOR HOLBROOKE: It was a non-event--
6 -please. I don't mean to be emotional, but it was
7 a non-event, on a day when we were facing an
8 international crisis, when Bob Dole was putting
9 resolutions in, when we had a war criminal on the
10 loose threatening the lives of American and NATO
11 soldiers:- And for you to suggest that I have no
12 right to do this--

13 [REDACTED] I am not suggesting--

14 AMBASSADOR HOLBROOKE: Well, of course.
15 You're saying to me that people say to me that they
16 didn't--that I had no right to talk to people until
17 I took that oath

18 [REDACTED] is just asking
19 questions.

20 [REDACTED] We are gatherers of fact. I am
21 not suggesting that anyone had or had not the right
22 to do what you were doing as far as that goes.

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1 AMBASSADOR HOLBROOKE: The Secretary of
2 State asked me to come to his office, for example,
3 on several occasions that are specified, and many
4 others that are not recorded, and I stress again,
5 because Warren Christopher was a methodical man who
6 worked through staff, most of the interaction was
7 through his senior advisers.

8 [REDACTED] Sure.

9 AMBASSADOR HOLBROOKE: And that's
10 appropriate.

11 [REDACTED] So, in your mind--and I don't
12 want to put words in your mouth. I'll just phrase
13 this and you correct it as needed. From what I'm
14 hearing, in your mind there was a seamless
15 transition from Assistant Secretary for European
16 Affairs to special Government employee?

17 AMBASSADOR HOLBROOKE: That is correct.

18 [REDACTED]: I'm just curious--

19 AMBASSADOR HOLBROOKE: But I would like to
20 edit out three words: "in my mind." Just say
21 there was a seamless transition.

22 [REDACTED] Okay. Then let me ask you

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1 this--

2 AMBASSADOR HOLBROOKE: It's interesting
3 you use the word seamless, because that's the word
4 that Kornblum and I always used to describe our
5 relationship, the way we handed off. We were very
6 proud of the transition.

7 [REDACTED] In your book, "To End a War,"
8 it's written--well, it's written, "February 20th"--
9 this is a caption above one of the photographs on
10 the sixth page of photographs, the caption reads:
11 "February 20, 1996, reporting to the principals
12 committee in the White House Situation Room one day
13 after the Rome compliance summit and one day before
14 I left the Government."

15 AMBASSADOR HOLBROOKE: Mm-hmm. Can I see
16 the picture?

17 [REDACTED] Sure.

18 AMBASSADOR HOLBROOKE: Yeah, absolutely.

19 [REDACTED] Well, it doesn't say that. It
20 says one day--

21 AMBASSADOR HOLBROOKE: First of all, let
22 me just start by stating that that's a photo

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1 caption. I don't write the photo captions.
2 Secondly, photo captions are compressed. Elsewhere
3 in the book, I believe--my memory's not exact, but
4 elsewhere in the book I refer to the special--to
5 the continuing responsibility. So I don't see what
6 that has to do with...

7 [REDACTED] Okay.

8 AMBASSADOR HOLBROOKE: - You were talking
9 about the expense issue.

10 [REDACTED] The expense--okay. Credit
11 Suisse--CS First Boston Corporation policies and
12 procedures for expenses states that for
13 entertainment, it is CS First Boston Corporation's
14 policy to reimburse employees for expenses incurred
15 in entertaining persons other than employees for
16 reasons connected to the firm's business.

17 AMBASSADOR HOLBROOKE: Mm-hmm.

18 [REDACTED] And then it goes into the
19 procedure.

20 AMBASSADOR HOLBROOKE: I'm not familiar
21 with that document. But what's the question?

22 [REDACTED]: The question is: Are all the

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1 expenses that you vouchered for entertainment
2 related or connected to the firm's business?

3 AMBASSADOR HOLBROOKE: No.

4 [REDACTED] Okay.

5 AMBASSADOR HOLBROOKE: And I've never seen
6 that document you're reading, and I was not--this
7 is a document that governs 6,000 people in New
8 York, or whatever. It didn't apply to me.

9 [REDACTED] The policy doesn't apply if you
10 haven't seen it?

11 AMBASSADOR HOLBROOKE: No, I didn't say
12 that. What I said was that [REDACTED] negotiated
13 an arrangement with them for a Vice Chairman which
14 involved their supporting purely social events.

15 [REDACTED] Do you have the document that
16 states that?

17 [REDACTED] The document itself does not
18 state that. The document doesn't state several
19 things for--

20 [REDACTED] But there's a contract.

21 [REDACTED] --obvious reasons. But the
22 document does state some of the things which are

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1 quite unusual. I don't know for sure, but I doubt
2 there's many people that were permitted to travel
3 with their spouses at CS First Boston's expense.
4 But the clear understanding of the discussion that
5 I had when I negotiated Dick's contract is that
6 they would cover all of his travel and business
7 expenses and entertainment expenses and sometimes
8 social expenses.

9 [REDACTED] Okay. Another--

10 [REDACTED] There's no limitation
11 whatsoever. That was one of the perks of the job,
12 if you will. That was one of the things that they
13 were using to attract Dick to CS First Boston.

14 AMBASSADOR HOLBROOKE: Another example is
15 travel. They would allow me to travel first class
16 when they wouldn't allow most people to travel
17 first class. They were--those were the perks.

18 [REDACTED] This was an oral
19 understanding that you had--

20 [REDACTED] When I negotiated Dick's
21 contract with CS First Boston.

22 [REDACTED] And who did you negotiate that

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1 with?

2 [redacted] I'd say principally with

3 [redacted] But there may have been others

4 involved, too. I suspect there was a lawyer

5 involved at some point, but principally with [redacted]

6 [redacted] And there are other understandings I had

7 with [redacted] that are not set forth in that

8 letter, also.

9 [redacted] Were there other kinds of
10 personal expenses that there was an understanding
11 would be picked up by the firm other than
12 entertainment and meals?

13 [redacted] Essentially, the agreement
14 was that they would cover all of Dick's expenses,
15 all of his travel.

16 [redacted] So it's associated with when
17 he is traveling?

18 [redacted] No, no, not associated with
19 when he was traveling. They would take care of all
20 his travel expenses. They would take care of all
21 of his expenses.

22 [redacted]: If you don't mind, maybe it

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1 would make more sense--we could have this
2 conversation at another time, and we could focus on
3 what your understanding was at that time.

4 [REDACTED] Sure.

5 [REDACTED] But let me just ask you the
6 same question so we have a record here. Your
7 understanding of the sort of special perks that
8 came along with this job, you said included
9 bringing your wife on a certain number of trips,
10 fly first class--

11 [REDACTED]: And that I actually put in
12 the agreement.

13 [REDACTED] Okay. Were these--was the
14 category of perks that you were entitled to limited
15 to things that you incurred while traveling for
16 First Boston?

17 AMBASSADOR HOLBROOKE: No. No, that was
18 not my understanding.

19 [REDACTED] But it was your
20 understanding--

21 AMBASSADOR HOLBROOKE: There was another
22 point, by the way [REDACTED] which [REDACTED] did not

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1 mention that I know came up, and that was we
2 informed them that I would also be writing a book,
3 if possible, and if I were to write a book--you
4 discussed that. And they said they absolutely
5 understood that, and they would make allowances for
6 that, too. And that was very important because
7 when I finally got around to the book, it took a
8 lot of time.

9 [REDACTED] You had said earlier that if
10 [REDACTED] to dinner on Friday night--

11 AMBASSADOR HOLBROOKE: To the
12 neighborhood, yeah--

13 [REDACTED] Right, a neighborhood
14 restaurant. First of all, CSFB is not going to
15 pick that up.

16 AMBASSADOR HOLBROOKE: Right.

17 [REDACTED] And in your mind that wasn't
18 part of the perk package.

19 [REDACTED] Now, wait a second. He
20 gets--

21 [REDACTED] Well, I'm not sure what
22 wording was mine.

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1 [REDACTED] I understand that. I just
2 wanted to make it clear that they probably would
3 have picked that up.

4 AMBASSADOR HOLBROOKE: I wish I had known
5 that at the time.

6 [REDACTED] They probably would. I know
7 you want to know what's in his mind.

8 AMBASSADOR HOLBROOKE: I know this sounds-
9 -they were generous, and they wanted me to work for
10 them.

11 [REDACTED] I've seen the contract. I
12 know they were generous. Or maybe you were
13 underpaid.

14 AMBASSADOR HOLBROOKE: If you're referring
15 to--if you're referring to the size of the
16 compensation, I'd like to make a statement for the
17 record.

18 [REDACTED] No, I don't think--you're
19 welcome to make a statement.

20 [REDACTED] [REDACTED] got a question.

21 [REDACTED] Go ahead. If you have
22 something you want to say about the size of the

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1 compensation, I think that's reflected in the
2 documents. That's not our focus here. That is
3 what it is, and a lot of people get well
4 compensated to work for a Wall Street firm, so I
5 don't think there's anything wrong with that.

6 But I think it is significant to us to
7 understand what category of expenditures you
8 regarded as legitimate to seek reimbursement for
9 and what categories you didn't view as legitimate.
10 And--

11 AMBASSADOR HOLBROOKE: May I just ask why?
12 I will, of course, answer any question you put to
13 me, but I'm just curious as to why it's relevant to
14 my confirmation or to this inquiry. There's no
15 business connection--there was no business
16 connection. I never ever discussed a business
17 matter with a Government official in this city.
18 Never.

19  Well, putting aside why it
20 may be relevant to someone--and it may be people
21 that aren't even in this room, but it is an area--
22 it is a matter of concern that we'd like to at

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1 least be clear on, and if you can't be clear on it,
2 fine; if you can, I'd be happy to hear what you
3 have to say on it.

4 AMBASSADOR HOLBROOKE: I want to--what is
5 the question?

6 [REDACTED] Well, in your mind, what is
7 the line between what you would be able to be
8 reimbursed for by CSFB and what you would not be
9 reimbursed for in terms of business/personal? What
10 category of expenses--

11 AMBASSADOR HOLBROOKE: You know it when
12 you see it, [REDACTED]

13 [REDACTED]: Okay. You didn't have a
14 principle that you would apply?

15 AMBASSADOR HOLBROOKE: I didn't have a 15-
16 point set of parameters that I tested each expense
17 on. The firm had indicated clearly that as one of
18 the perks of the job and their desire to have me
19 join them--this is through [REDACTED]-they would pick up
20 purely social expenses.

21 [REDACTED] Okay. Would that include
22 things that you did by yourself or--

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1 AMBASSADOR HOLBROOKE: What do you mean?

2 [REDACTED] Well, [REDACTED]

3 [REDACTED]

4 AMBASSADOR HOLBROOKE: No, I wouldn't
5 expense that. As [REDACTED] said, they might have paid
6 for it, but I wouldn't have done that. I didn't
7 ask them.

8 [REDACTED] In your mind, what was the
9 distinction between that sort of expense [REDACTED]

10 [REDACTED] and the kind of
11 expenses that, you know, when you went to
12 Washington and you would entertain somebody at a
13 restaurant or on a business trip?

14 AMBASSADOR HOLBROOKE: I think the
15 distinction is self-evident. I'm a little
16 confused.

17 [REDACTED] I'm trying to--

18 AMBASSADOR HOLBROOKE: What's the
19 difference between [REDACTED]
20 and coming to Washington and expensing a dinner
21 with old friends while I'm here and putting it on
22 part of the First Boston expense accounts for the

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1 trip? I think the difference is self-evident.

2 [REDACTED] Well, indulge me in terms of
3 what the self-evident distinction is.

4 [REDACTED] Or even having a social
5 event in New York City.

6 AMBASSADOR HOLBROOKE: Or in New York
7 also. I might be very dense. It just seems to me
8 that it's very clear.

9 [REDACTED] Well, if you had a party at
10 your house, say a birthday party for yourself, and
11 you invited friends that come to the house, is that
12 the kind of event that you would seek reimbursement
13 for from Credit Suisse?

14 AMBASSADOR HOLBROOKE: I might.

15 [REDACTED] Okay. Under what
16 circumstances?

17 AMBASSADOR HOLBROOKE: If I thought it was
18 appropriate or justified.

19 [REDACTED] What would make it
20 appropriate?

21 AMBASSADOR HOLBROOKE: I can't say. It
22 just would depend on the circumstances. It's a

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1 hypothetical question, [] I don't understand
2 it. A birthday party could be expensed. I'm sure
3 many people expense birthday parties.

4 [] Because they have some firm
5 connection?

6 AMBASSADOR HOLBROOKE: I don't know. I'm-
7 -this is a hypothetical question. I don't
8 understand it.

9 [] Well, we can get to the
10 specifics--

11 AMBASSADOR HOLBROOKE: No, I really--since
12 you're quite interested in this issue, I want to
13 help you because I really want to move this thing
14 along. So I'd like to clear it up.

15 [] Well, I'm trying to
16 understand what--the fact that you voucher
17 something, in your mind did that mean it's a
18 business expense?

19 AMBASSADOR HOLBROOKE: If I voucher it, it
20 means the firm is paying for it.

21 [] Obviously.

22 AMBASSADOR HOLBROOKE: Yeah, that's all it

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1 means.

2 [REDACTED] And the fact that--

3 AMBASSADOR HOLBROOKE: Does it mean it's a
4 business expense? No. It means the firm is paying
5 for it. It means what it is. That's all it means.
6 It's not a business event. The business is paying
7 for it. It's not a business event. It's not--no
8 business is being conducted. You can't find anyone
9 who can ever tell you that I discussed business
10 with a Government official on these issues you're
11 talking about. But the firm paid for it.

12 [REDACTED] So that leads to the question:
13 What non-business expenses would you voucher or
14 would the firm pay for?

15 AMBASSADOR HOLBROOKE: I thought we
16 covered that already.

17 [REDACTED] We did, but we didn't make the
18 distinction between a personal expense [REDACTED]
19 [REDACTED] versus a personal expense
20 of having dinner with one's friends. We're trying
21 to understand the line of distinction, what
22 distinguishes what personal event in your mind the

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1 firm would pay for versus a personal event that
2 they would not pay for?

3 AMBASSADOR HOLBROOKE: It's a case-by-case
4 issue. There's so many different variables here.

5 [REDACTED]
6 [REDACTED] But if I
7 was in Washington [REDACTED]

8 [REDACTED] and I chose to business expense that, I
9 would choose to--if I chose to do so--and I'm not
10 saying I did or didn't because I have no memory on
11 it--and I chose to expense it, I might do it.

12 If you take out a friend and choose to
13 expense it and never discuss business, that's
14 between me and my firm. But no business is
15 discussed. I'm making--I'm trying to establish
16 what I assume is a valid distinction between an
17 expense that is paid by the business, by the firm,
18 and an expense that is related to advancing the
19 business interests of the firm. It seems to me a
20 very clear distinction.

21 [REDACTED] I don't understand, I think,
22 why some expenses which you say had nothing to do

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1 with the business of the firm were nonetheless
2 submitted by you to the firm for reimbursement.

3 AMBASSADOR HOLBROOKE: Because that was
4 the understanding that [] had reached with
5 the firm beforehand as part of the perks of the
6 job. They wanted me to join the firm, and other
7 people did, too, and this was part of the
8 discussion.

9 [] Was it your understanding
10 that this was a common practice among the senior
11 people within CSFB?

12 AMBASSADOR HOLBROOKE: I have no idea.
13 [] Did you have any
14 conversations with anybody at CSFB in terms of how
15 to interpret the outer boundaries of this perk--

16 AMBASSADOR HOLBROOKE: I can't--
17 [] --or any other discussions?

18 AMBASSADOR HOLBROOKE: I can't recall.

19 [] Did you ever talk to []
20 [] about it of whether any particular expenses
21 could be reimbursed?

22 AMBASSADOR HOLBROOKE: I have no memory of

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1 it because it was understood, [REDACTED]

2 This may sound odd to people who work in
3 the Government. It's not to people who work on
4 Wall Street. I've spent half my life in each, and
5 I'm quite aware of the difference of attitudes.

6 I hope I'm being responsive because I
7 recognize that you're concerned about this, and you
8 recognize that I don't believe there is a reason
9 for the concern. So, please, don't let me off the
10 hook until you're satisfied because I want you to
11 be satisfied.

12 By the way, I just would point out the
13 obvious: that these expense forms, even though I
14 never saw them, are approved formally by the firm
15 case by case, and so they have the option.

16 [REDACTED] Did you ever have any
17 conversations with anybody about the approval of
18 any forms?

19 AMBASSADOR HOLBROOKE: Not that I can
20 recall [REDACTED]

21 [REDACTED] The approval would be based
22 on what's reflect on the form and what's attached

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1 to the form, as far as you know?

2 AMBASSADOR HOLBROOKE: But I never saw
3 these forms. The first time I ever saw this form
4 was in preparing for these meetings. I've never
5 seen one, my signature--that's not my signature on
6 this form.

7 [REDACTED] Whose signature is it?

8 AMBASSADOR HOLBROOKE: [REDACTED]

9 [REDACTED]
10 [REDACTED]
11 AMBASSADOR HOLBROOKE: Yeah. [REDACTED]

12 [REDACTED]
13 [REDACTED]
14 [REDACTED]
15 [REDACTED]
16 [REDACTED]
17 [REDACTED]
18 [REDACTED]
19 [REDACTED] And then it's approved
20 routinely.

21 [REDACTED] And you've never signed any
22 Credit Suisse First Boston voucher?

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1 AMBASSADOR HOLBROOKE: Excuse me?

2 [REDACTED] You've never signed any Credit
3 Suisse First Boston voucher?

4 AMBASSADOR HOLBROOKE: You mean those
5 forms in front of you? Those--

6 [REDACTED] These are the type of forms,
7 Credit Suisse First Boston Travel and Entertainment
8 Vouchers. You've never signed any?

9 AMBASSADOR HOLBROOKE: I have no memory of
10 signing any. That doesn't mean I didn't sign any.
11 To my knowledge, I never saw those forms until
12 preparing for this. But, you know, it's been a
13 very busy two and a half years, and it's possible I
14 actually signed one myself. But the difference
15 between that signature you have in front of you and
16 my actual signature are quite marked.

17 [REDACTED]: Right.

18 AMBASSADOR HOLBROOKE: [REDACTED]

19 [REDACTED]

20 [REDACTED] I noticed the difference.

21 [REDACTED] [REDACTED]
22 [REDACTED] know what to place in the purpose block

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1 on the voucher?

2 AMBASSADOR HOLBROOKE: I don't know [redacted]

3 [redacted] [redacted] never discussed it with me. [redacted]

4 kind of wrote in whatever [redacted] was--I think [redacted] was

5 probably guessing most of the time. Since I never

6 saw these blocks, I can't answer that question.

7 [Pause.]

8 [redacted]: Let's go to--do you recall a
9 dinner at Nora's Restaurant on April 14, 1996?

10 AMBASSADOR HOLBROOKE: Vaguely.

11 [redacted] What was the purpose of the
12 dinner?

13 AMBASSADOR HOLBROOKE: To gather some old
14 friends, cherished friends, some of whom were in
15 the Government, some of whom were not.

16 [redacted] Was that a personal dinner?

17 AMBASSADOR HOLBROOKE:.. It was a social
18 dinner.

19 [redacted] Social dinner?

20 AMBASSADOR HOLBROOKE: Mm-hmm. No
21 business was discussed.

22 [redacted] What was the purpose for Credit

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1 Suisse First Boston paying for the dinner?

2 AMBASSADOR HOLBROOKE: I believe I already
3 answered that.

4 [REDACTED] The problem I'm having with the
5 explanation on when and why things were vouchered
6 is Credit Suisse First Boston officials basically
7 said that all the expenses were to be related to CS
8 First Boston business. And that's why I'm having
9 this problem with--

10 [REDACTED]: I guess he got away with
11 some things with CS First Boston.

12 AMBASSADOR HOLBROOKE: I'm sorry. I'm
13 still having trouble here. That was a social
14 dinner and no business was discussed. I did not
15 know until you inquired--you started inquiring
16 about the dinner that--who had paid for it, because
17 that particular restaurant, which I know very well,
18 does not take American Express, and my corporate
19 card is an American Express card. And, therefore,
20 they--I believe they sent a bill. But that's a
21 technicality. No business was discussed.

22 [REDACTED] What was your job at Credit

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1 Suisse First Boston during this period of time?

2 What were you trying to do for them?

3 AMBASSADOR HOLBROOKE: I was Vice Chairman
4 and the Managing Director.

5 [REDACTED] And what were your
6 responsibilities, your duties?

7 AMBASSADOR HOLBROOKE: The normal and the
8 highly varied range of things that an investment
9 banker in corporate finance does.

10 [REDACTED] Okay. What are those?

11 AMBASSADOR HOLBROOKE: I really--how much
12 time do you want? I'm not a--I do everything that
13 you can in the client area.

14 [REDACTED] Categorize for me the major
15 things that you were doing in that job during this
16 time frame.

17 AMBASSADOR HOLBROOKE: Client acquisition,
18 domestic.

19 [REDACTED] Client acquisition for what
20 sorts of work?

21 AMBASSADOR HOLBROOKE: There's a target
22 company. They ask you to try to develop a

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1 relationship with them. And you go out and try to
2 do that. Or they have an existing client, and they
3 want you to meet with the Chairman and just
4 increase the coverage, as they call it.

5 [REDACTED] Part of what you were doing
6 was trying to develop relationships with potential
7 clients or future clients?

8 AMBASSADOR HOLBROOKE: Or existing--or
9 strengthen with existing clients. A great deal of
10 my work would be somebody would come by and say,
11 we've got a client who's heard you're now in the
12 firm and would like to meet you or we'd like you to
13 meet him.

14 [REDACTED] Did you get involved with
15 specific transactions?

16 AMBASSADOR HOLBROOKE: Yes.

17 [REDACTED] What would your role be on
18 specific transactions?

19 AMBASSADOR HOLBROOKE: It depended on the
20 transaction. It might be--I might start it and
21 carry it to fruition, or I might come in along the
22 way to give strategic advice, or I might start it

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1 and hand it off to other people.

2 I was continually inhibited here by the
3 amount of time I was spending in the Government.

4 [REDACTED] I was going to just remind
5 Dick, [REDACTED] because you did ask in that period of
6 time. My sense is, with all due respect, you were
7 not doing very much work.

8 AMBASSADOR HOLBROOKE: Well, I way--

9 [REDACTED] I think another period of
10 time would be more reflective of--

11 AMBASSADOR HOLBROOKE: I mean, the big
12 problem here, [REDACTED] was that the Government
13 activities cut so heavily into my ability to work
14 that their dissatisfaction with me was clear. I
15 was severely disadvantaged at the firm by my
16 Government activities. This is not responsive to
17 your question, which is what I did, but it's
18 relevant because when you ask about carrying a deal
19 through, I often cancelled important meetings with
20 CEOs, one, for example, last month, a hugely
21 important CEO whom no one else in the investment
22 banking community has any access to in any of the

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1 other firms. And I have this big meeting set up,
2 and I had to cancel it because I was in Kosovo.

3 I know that's outside the area of your
4 inquiry, but since it's recent, I use it
5 illustratively. That happened all the time.
6 That's why so much of my schedule never happened.
7 It will say business meeting. It never happened.

8 This hurt me in the firm in many ways.
9 They were annoyed at the amount of time I spent on
10 this stuff. They were annoyed that I would--that I
11 always put the Government first. Always. Even
12 though [] and I had both told them that if it
13 happened we would do that, they didn't expect it to
14 take up this much time, nor, frankly, did I.

15 It hurt me because it reduced my learning
16 curve. I had spent 12 years on Wall Street in the
17 '80s at Lehman Brothers, so I knew something about
18 banking. But the banking industry evolves and
19 changes, and I never got my learning curve up. I
20 didn't learn enough about the new products.

21 It hurt me because it annoyed some of my
22 colleagues. And it actually led to some--you know,

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1 to some specific complaints. And then, so that's
2 how it happened.

3 But I think everybody understands that
4 investment bankers are like general practitioners.
5 They're not focused, narrow specialists on a
6 specific derivative product or a mortgage bank
7 guarantee or an interest rate swap. They do the
8 broad--it could be M&A one day. It could be a
9 divestiture the next. It could be an IPO the
10 third. And you go where the flow is.

11 I have a number of clients, and I service
12 them.

13 Did you focus on
14 international opportunities that would sort of fit
15 with your experience?

16 AMBASSADOR HOLBROOKE: It was both. It
17 was both.

18 Fifty/fifty domestic/foreign
19 or--

20 AMBASSADOR HOLBROOKE: I honestly can't
21 say. I just don't know. It's almost impossible to
22 tell because sometimes the client is an American

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1 client, but he wants to talk about international.

2 I flew out to Chicago one day to see the [REDACTED]

3 [REDACTED] an important client of the firm, but we
4 talked about international affairs. So what do you
5 call that? I mean, the line is very vague.

6 And it gets vaguer as American business
7 goes global. It's Daimler-Benz-Chrysler.

8 [REDACTED]: Are you still doing the same
9 work today?

10 AMBASSADOR HOLBROOKE: In theory I am, but
11 I'm spending much more time on Kosovo plus
12 preparing for confirmation, another source of
13 intense annoyance to my firm. I've been--for
14 example, in the last week, I've been able to do--
15 this is Friday. This week I've been able to do
16 exactly two client-related events all week long.
17 That is not making them happy.

18 But they support it. Last month--earlier
19 this month, 400 Albanian Americans came down and
20 blockaded our offices and the 19th Precinct of New
21 York blockaded them. Do you know how my firm
22 feels?

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1 [REDACTED] They were very happy about
2 that.

3 AMBASSADOR HOLBROOKE: Do you know how
4 they feel when they can't get into their offices
5 because one of their people who they've hired as a
6 Vice Chairman is--I don't have a police guard, but
7 I probably ought to at this point. People carrying
8 signs around the street saying Holbrooke and

9 [REDACTED] are mass murderers. These are the people
10 I've just been helping to save. That's my current
11 situation, [REDACTED]

12 It's not--it's not fun.

13 [REDACTED] Is your current--

14 AMBASSADOR HOLBROOKE: But the firm is
15 supporting me. But it's not fun.

16 [REDACTED]: Is your current compensation
17 package and sort of understanding with them the
18 same as it was when you started?

19 AMBASSADOR HOLBROOKE: It was a three-year
20 contract, and the three years are still running.
21 They run out on February 21st of--22nd of next
22 year.

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1 [redacted] Who do you recall being at the
2 [redacted] dinner?

3 AMBASSADOR HOLBROOKE: My memory is
4 extremely vague on that. Extremely vague. The
5 vaguest recollection, [redacted] may have been
6 there, that Strobe Talbott might have been there,
7 that [redacted] and [redacted] were there, and I'm
8 not sure if Tom Donilon was there, Sandy Berger.

9 I just--I kind of gave [redacted] a list and told
10 [redacted] these are friends of mine and see if they're
11 available to have a nice relaxed dinner.

12 [redacted] Were these all people who had
13 worked on Dayton with you?

14 AMBASSADOR HOLBROOKE: No. Some had, some
15 hadn't. I did other things besides Dayton.

16 [redacted] Was this kind of a dinner to
17 get people together who had--as kind of a thank-you
18 for having worked together in the past and now
19 you're leaving Government and just taking the time
20 to have a dinner with friends who had worked with
21 you in the past?

22 AMBASSADOR HOLBROOKE: That's too specific

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1 because some of the people at the dinner had not
2 been in the Government, in the recent--everyone at
3 the dinner had had a--had at one time or another
4 worked for the Government. But some of those
5 people hadn't worked for it for a long time, and
6 we're just good friends.

7 [REDACTED] Were any of them clients of
8 CSFB?

9 AMBASSADOR HOLBROOKE: Yes. One of them,
10 [REDACTED], was [REDACTED]
11 [REDACTED] Was [REDACTED] one of your personal
12 clients, somebody that you worked with?

13 AMBASSADOR HOLBROOKE: [REDACTED] and I
14 have been friends since 1969. [REDACTED]

15 [REDACTED]
16 [REDACTED]
17 [REDACTED]
18 [REDACTED] . We've been friends now
19 for 29 years. [REDACTED] is also an important client of
20 the firm, and was, of course, prior to my joining
21 the firm.

22 [REDACTED] Sorry. Just kick me if I'm

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1 interrupting.

2 [REDACTED] No, not at all.

3 [REDACTED] This is his interview.

4 [REDACTED] When we came up to--

5 [REDACTED] M&M's?

6 AMBASSADOR HOLBROOKE: Keep those away
7 from me. Come on, that's really--

8 [REDACTED] They're for me.

9 AMBASSADOR HOLBROOKE: No, but just keep
10 them out of my reach. That's an unfriendly act.

11 [Laughter.]

12 [REDACTED] On one of our trips to Credit
13 Suisse First Boston in New York, we did have
14 opportunity to speak with [REDACTED]
15 and also to review a number of travel and
16 entertainment vouchers, and there were some
17 vouchers identified as having your signature on
18 them.

19 AMBASSADOR HOLBROOKE: T&E vouchers?

20 [REDACTED] Yes. Not any of the ones
21 specifically that we'll be talking of, but on
22 other--it's the same form.

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1 AMBASSADOR HOLBROOKE: What you're saying
2 is that although I think I've never seen these
3 forms before, in fact, they passed through my hands
4 and I initialed them. And I--or signed them. If
5 you so state, I so accept. But I would like to
6 say--

7 [REDACTED] We're stating that it was
8 identified to us as being your signature.

9 AMBASSADOR HOLBROOKE: Fine. I mean, you
10 can show them to me; but I have no memory of them.

11 [REDACTED] Okay.

12 AMBASSADOR HOLBROOKE: But a person who
13 processes an enormous amount of paper can forget
14 something rather rapidly.

15 I am astonished. You know, going through
16 this process with you [REDACTED] I'm astonished at how
17 many things I don't remember, because I thought I
18 had a good memory. But I said things to you in the
19 last interview based on my memory which I misstated
20 and things that, you know--it just happens.

21 [REDACTED] Well, I hope you'll--we'll
22 have a chance to get to that. I hope that you'll

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1 on the record today correct any misstatements that
2 you noticed in the original transcript.

3 AMBASSADOR HOLBROOKE: Sure.

4 [REDACTED] We'll give you full
5 opportunity to do that. We don't want to do that
6 right now.

7 [REDACTED] During the Nora's dinner and on
8 your travel and entertainment voucher, which was
9 done on your behalf--

10 AMBASSADOR HOLBROOKE: I'm sorry. This

11 was Nora's, [REDACTED]

12 [REDACTED] Nora's. April 14th on the
13 voucher, with your name and which Credit Suisse
14 reimbursed you for, \$2,765. It lists--and I'll go
15 over the names of the people who are on the guest
16 list as reflected on the voucher: [REDACTED]

17 [REDACTED]

18 [REDACTED]

19 AMBASSADOR HOLBROOKE: [REDACTED]

20 [REDACTED] I'm sorry, [REDACTED]

21 [REDACTED]
22 [REDACTED]

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[REDACTED]

[REDACTED]

AMBASSADOR HOLBROOKE: So I misstated. I mentioned Strobe, but he appears not to be on this list.

[REDACTED] Well, what I found, at least from the interviews of the people on this and some of the other dinners, is that these lists are--if what the people told me and their recollections are correct, then the vouchers, the guest lists, are not always accurate, whereas someone may have been there that's not listed or someone may be listed who wasn't there, again, according to what they told us.

AMBASSADOR HOLBROOKE: That's very likely.

[REDACTED] Just so we're clear, is it your recollection that Strobe Talbott was at this event?

AMBASSADOR HOLBROOKE: I have no--I have no--you were asking me to guess who was there, and I guessed him, but I guess he wasn't there. I have

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1 no idea.

2 [REDACTED] You don't have a recollection
3 one way or the other in terms of whether that was
4 accurate or complete?

5 AMBASSADOR HOLBROOKE: No.

6 [REDACTED] Do you recall--

7 AMBASSADOR HOLBROOKE: In fact, it puzzles
8 me. [REDACTED] -I don't have any memory of [REDACTED]

9 [REDACTED] But there is a list. I don't know how it
10 was assembled, and I don't know if it was accurate.

11 [REDACTED] You don't know how the list was
12 assembled for the dinner that you--

13 AMBASSADOR HOLBROOKE: This? I don't
14 know--I don't know how this list of the people who
15 allegedly attended was assembled. [REDACTED] arranged all
16 this.

17 [REDACTED] Do you recall the dinner?

18 AMBASSADOR HOLBROOKE: Very, very vaguely.

19 [REDACTED] Do you recall any of the
20 conversation that took place at the dinner?

21 AMBASSADOR HOLBROOKE: Very, very vaguely.
22 It was a purely social event.

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1 [REDACTED] What makes you so sure that
2 it was purely social if you don't remember it?

3 AMBASSADOR HOLBROOKE: Because I never
4 discuss business with any people in the U.S.
5 Government, and because the only person on here who
6 was a businessman at the time, and still is, [REDACTED]
7 [REDACTED] I would never discuss business
8 with him at a social event. It would be totally
9 improper, and [REDACTED] a 29-year friend, as I said
10 earlier. [REDACTED] would never forgive me. It would be
11 inappropriate, and it would be--and it would not be
12 something that we would--you're welcome to ask [REDACTED]

13 [REDACTED] Well, let me ask you the
14 question, then. Did you ask anyone at this dinner
15 to take any actions which would have benefited
16 yourself or Credit Suisse First Boston?

17 AMBASSADOR HOLBROOKE: No.

18 [REDACTED] And you can be--you're certain
19 of that.

20 AMBASSADOR HOLBROOKE: My memory of the
21 dinner is vague. I'm certain that I don't do that.

22 [REDACTED] And just so we're clear,

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1 when you talk about action here, break it out in
2 terms of the people that were working for the
3 Government at the time of the event. Was there any
4 official action that you either asked for from
5 those people or that you discussed the possibility
6 of having executed on behalf of Credit Suisse on
7 behalf of any personal interest that you have? Can
8 we get the "no"?

9 AMBASSADOR HOLBROOKE: No.

10 [] Was anyone who was at the
11 dinner--had anyone at the dinner ever taken an
12 action prior to the dinner which could have
13 benefited Credit Suisse First Boston?

14 [] I think you need to refine
15 that question. Dick has no idea--

16 AMBASSADOR HOLBROOKE: I don't understand.

17 [] As far as you know.

18 AMBASSADOR HOLBROOKE: I don't understand
19 the question.

20 [] Had anyone at the dinner ever
21 taken an action that you're aware of that could
22 have benefited Credit Suisse First Boston that you

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1 are aware of that you had discussed with him?

2 AMBASSADOR HOLBROOKE: You're talking
3 about the Government officials?

4 [REDACTED]: Yes.

5 AMBASSADOR HOLBROOKE: No.

6 [REDACTED] When you were Assistant
7 Secretary for European and Canadian Affairs--is
8 that the correct title? When you were in that
9 position, did you routinely have to handle issues
10 that involved the promotion of American business
11 interests in foreign countries?

12 AMBASSADOR HOLBROOKE: Both in my job
13 before that, Ambassador to Germany, and as
14 Assistant Secretary, that was one of the mandated
15 priorities of this administration.

16 [REDACTED] And that would mean--

17 AMBASSADOR HOLBROOKE: Mandated by the
18 President and the Secretaries of State and
19 Commerce.

20 [REDACTED] That was an important part
21 of the job?

22 AMBASSADOR HOLBROOKE: Very important.

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1 [REDACTED] And it was something that
2 would routinely be a matter that would be of
3 concern to somebody at the Assistant Secretary
4 level?

5 AMBASSADOR HOLBROOKE: Mm-hmm, and I
6 repeatedly made speeches to my staff and to others
7 and to visitors, saying this was an important part
8 of what we do to serve the national interest.

9 [REDACTED] What would actually be done
10 by the U.S. Government to help, let's say, an
11 American company that wants to invest in a foreign
12 country?

13 AMBASSADOR HOLBROOKE: You want me to put
14 back on my EUR hat?

15 [REDACTED] Right.
16 Or your Ambassador of
17 Germany--

18 AMBASSADOR HOLBROOKE: Three or four
19 things, [REDACTED] Are you familiar with the--

20 [REDACTED] Assume I'm not.

21 AMBASSADOR HOLBROOKE: I'm assuming you
22 are.

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1 [REDACTED] Explain it to me as if I'm a
2 four-year-old.

3 AMBASSADOR HOLBROOKE: Okay. Well--

4 [REDACTED] Eight-year-old.

5 AMBASSADOR HOLBROOKE: Okay. Well, I
6 don't need to explain to you why it's important to
7 the United States to support American business,
8 right? The President and the Secretary of State
9 have spoken to that repeatedly, and the current
10 Secretary of State has made it one of her
11 priorities as well. So what were the nature of the
12 things?

13 As a Government official, you brief
14 businessmen--and, by the way, a lot of what I'm
15 saying is not me. It's people--I delegate.

16 [REDACTED] Sure.

17 AMBASSADOR HOLBROOKE: I have a deputy who
18 is supposed to be dedicated to that particular
19 issue. That's part of his job. And I have--
20 there's an economic office within each bureau, and
21 then there's separate economic offices. So I might
22 not do this myself, but you brief businessmen on

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1 political stability and economic conditions,
2 whether you're the Ambassador, in which case you
3 give a country briefing, or here you do--whatever.

4 Secondly, you offer to put them in contact
5 with the commercial officers of the embassies who
6 is supposed to support them.

7 Third, you attend functions that they may
8 host, if it works out and if it's appropriate. A
9 businessman might invite you to a dinner with a
10 foreign leader or a foreign businessman, and you
11 might go.

12 You might meet with delegations that wish
13 to complain about American law and how it's
14 restricting us and how we're being outmaneuvered by
15 the French or the British or the Japanese because
16 they have less restrictive laws. And I, of course,
17 always defended our laws because I believed in them
18 deeply, but that has been a recurring 20-year
19 theme.

20 You represent the interests of American
21 business to foreign governments if they have
22 bureaucratic red tape, double taxation, unfair

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1 biases towards somebody other than the American
2 firms involved--a whole panoply of issues.

3 [REDACTED] And that's something that
4 the Assistant Secretary would get involved in as an
5 administration priority?

6 AMBASSADOR HOLBROOKE: We were under
7 orders to do so by the President and the Secretary
8 of State. That's what he wanted us to do. I
9 believe that Warren Christopher was the first
10 Secretary to have a personal adviser just for
11 business affairs, but I may be wrong on that.

12 [REDACTED] And some of the issues that
13 would come up from the perspective of an Assistant
14 Secretary for EUR, would they include, for
15 instance, whether a particular business would be,
16 you know, qualified for this kind of support,
17 whether it was going to be sufficiently American?
18 Would that be the kind of issue that might come up
19 at the Assistant Secretary level?

20 AMBASSADOR HOLBROOKE: It might. I don't
21 know. That's a hypothetical issue.

22 [REDACTED] Well, in fact, it did come

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1 up when you were there in connection with Credit
2 Suisse in Hungary; right?

3 AMBASSADOR HOLBROOKE: It wasn't credit
4 Suisse. It was--

5 [REDACTED] I'm sorry. It was--

6 AMBASSADOR HOLBROOKE: CS First Boston.
7 That's a very important distinction.

8 [REDACTED] Okay. But that was--have I
9 fairly characterized the issue that came up in
10 connection with that?

11 AMBASSADOR HOLBROOKE: Yes, absolutely..

12 [REDACTED] It was [REDACTED] that
13 brought the issue to your attention?

14 AMBASSADOR HOLBROOKE: Yes.

15 [REDACTED] And the concern was that CS
16 First Boston, as it was known at the time, was not
17 getting treated as an American company ought to be
18 treated by the Embassy in Hungary?

19 AMBASSADOR HOLBROOKE: That's correct.
20 And--but there were three firms competing for a
21 single mandate, and the embassy had inadvertently
22 supported one of them, which violated the general

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1 rule against the letting--the use of--if there's
2 only one U.S. firm involved, you support them. But
3 if there's more than one, you establish a level
4 playing field. We were--and complaints were coming
5 in, not just [REDACTED]

6 [REDACTED] And you personally resolved
7 that issue when you were Assistant Secretary?

8 AMBASSADOR HOLBROOKE: No. Ambassador
9 Blinken resolved the issue.

10 [REDACTED] But you communicated to
11 Ambassador Blinken how it ought to be resolved or
12 clarified?

13 AMBASSADOR HOLBROOKE: I told him that it
14 was my view that he and his embassy were at risk
15 for counteractions by two firms because he had sent
16 a letter on bad advice to the Hungarian Government
17 supporting one firm over the others. It was a very
18 clear-cut case. It was not just CS First Boston.
19 It was also Goldman Sachs.

20 [REDACTED] Were there ever issues--
21 putting aside this specific example, were there
22 ever issues that you were familiar with in the EUR

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1 job where an American company would want other
2 Departments of the U.S. Government other than the
3 State Department to assist? Agriculture? I don't
4 know who else might--

5 AMBASSADOR HOLBROOKE: I assume there
6 were, but I don't have any specific memories.

7 But it would be consistent
8 with the overall policy to promote U.S. interests,
9 not just the Ambassador reach out, but have people
10 -from other Departments that might have some
11 expertise?

12 AMBASSADOR HOLBROOKE: Well, remember, the
13 Commerce people overseas worked for their
14 Ambassador. They're part of his embassy.

15 Okay.

16 AMBASSADOR HOLBROOKE: I had 25 different
17 agencies working for me in Germany, including
18 Agriculture, Commerce, Treasury, Customs, Center
19 for Disease Control. They all work for the
20 Ambassador. So if you're talking about Ambassador,
21 it's different.

22 If you're talking about an Assistant

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1 Secretary of State, people wouldn't come to me as
2 an EUR Assistant Secretary and say, Help me at the
3 Commerce Department, or Agriculture or Treasury,
4 because that's a waste of time.

5 [REDACTED] They would go directly to--

6 AMBASSADOR HOLBROOKE: I wouldn't do it.
7 It's not my job. I don't have the time to do it.
8 Despite my priority I put on business affairs, I
9 was dealing with crises in Europe which were big
10 time, not just Bosnia, and that would be a waste of
11 their time and mine.

12 [REDACTED] And as far you knew, or
13 know, did this priority in terms of promoting
14 business continue after you left the EUR job?

15 AMBASSADOR HOLBROOKE: You'd have to ask
16 the people who succeeded me, but I stress it is a
17 presidential priority. President Clinton has
18 talked about it repeatedly in public, and both
19 Christopher and Albright have repeatedly reaffirmed
20 it. But how my successor--there's two of them now--
21 have performed, you have to address to other
22 people.

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1 [REDACTED] But did you understand
2 Kornblum as having the same responsibilities you
3 did to promote American business?

4 AMBASSADOR HOLBROOKE: He had the same
5 mandate from his leaders. How he executed it under
6 the pressures of the day-to-day job is not
7 something I have any knowledge of.

8 [REDACTED]: Would you have anticipated
9 at that time that he would routinely be confronted
10 with the same sorts of issues that you dealt with
11 when you were in the same job?

12 AMBASSADOR HOLBROOKE: I have no idea. I
13 don't understand the question. Routine--I don't
14 know what that's about. I mean, John did the job
15 his way. I think that one of the first rules of
16 Government is don't second-guess your successor.
17 He might not have spent as much time on it as I did
18 because he didn't have prior experience in
19 business. He was a pure, clear Foreign Service
20 officer with a pure, clear--I had a mixed career.
21 He might have delegated more.

22 But I'm just speculating, [REDACTED] I have

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1 no idea.

2 [REDACTED] You don't know whether he,
3 in fact, got involved in any business promotion
4 activities?

5 AMBASSADOR HOLBROOKE: No. I never would-
6 -I never discussed business with him.

7 [REDACTED] Well, this would be not
8 necessarily your business, but his business.

9 AMBASSADOR HOLBROOKE: No. I would have
10 been--I didn't discuss it with him. I have no idea
11 how he carried out his job in this area. We talked
12 about the political and strategic issues.

13 [REDACTED] Do you need to break?

14 AMBASSADOR HOLBROOKE: Yes. Do you want
15 to continue this for five minutes?

16 [REDACTED] This is a fine place to
17 break.

18 AMBASSADOR HOLBROOKE: Are you comfortable
19 with this? Because if you want to continue on this
20 line, we can do it now.

21 [REDACTED] If you have anything more to
22 add?

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1 AMBASSADOR HOLBROOKE: No.

2 [Recess.]

3 [REDACTED] Just briefly, on the Nora
4 dinner, and then we'll move on. Do you have a copy
5 of the voucher?

6 [REDACTED] I do.

7 [REDACTED] You'll note that on the entry
8 for April 14th for the Nora's dinner--

9 AMBASSADOR HOLBROOKE: Yes, I see it.

10 [REDACTED] To the right of the amount,
11 \$2,765--

12 AMBASSADOR HOLBROOKE: I see it.

13 [REDACTED] --under business
14 purpose/transaction type, it is reflected European
15 continued relations. Is that accurate?

16 AMBASSADOR HOLBROOKE: No.

17 [REDACTED] What should it be?

18 AMBASSADOR HOLBROOKE: Social event or
19 dinner with--dinner with guest list. Or whatever.
20 I've already described it.

21 [REDACTED] Have you taken any actions to
22 correct the voucher?

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1 AMBASSADOR HOLBROOKE: No. This is [REDACTED]
2 This was approved. [REDACTED] wrote that in. [REDACTED] didn't
3 ask me what its purpose was. [REDACTED] did that a lot.

4 If the firm wishes me to correct it, I
5 will. If you wish me to correct it, I will.

6 [REDACTED] If it had the correct
7 description, would it still be something that, had
8 you known about it, you would have submitted for
9 reimbursement?

10 AMBASSADOR HOLBROOKE: Yes.

11 [REDACTED] Why is that?

12 AMBASSADOR HOLBROOKE: For the reasons we
13 already discussed.

14 [REDACTED] But what was it about this
15 particular event that made it--

16 AMBASSADOR HOLBROOKE: This isn't a
17 particular event.

18 [REDACTED] You said it was a case-by-case
19 basis. What in this case made it voucherable, in
20 your mind?

21 AMBASSADOR HOLBROOKE: It was a social
22 event, which was the kind of thing that was

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1 understood that they would support as one of the
2 perks of the job. That's all that needed to be
3 said for me to expense it.

4 [REDACTED] Okay. And the kind of things--
5 what were the things that this meal had that made
6 it within the zone of things that you understood as
7 being reimbursable?

8 AMBASSADOR HOLBROOKE: It fit within the
9 previous description of social events they would
10 cover.

11 [REDACTED] Was it significant that [REDACTED]
12 [REDACTED] was present?

13 AMBASSADOR HOLBROOKE: If you're asking
14 whether it would have been expensed without [REDACTED]
15 presence, the answer is yes, if that's your
16 question. Do I understand that to be the import of
17 the question?

18 [REDACTED] Well, we can make that the
19 question. If he weren't there, would that make a
20 difference in your mind--

21 AMBASSADOR HOLBROOKE: No.

22 [REDACTED] --as to whether it's

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1 reimbursable?

2 AMBASSADOR HOLBROOKE: No.

3 [REDACTED] If the persons--the other
4 people that were at the meal who were working for
5 the Federal Government at the time, if they had not
6 been Government employees at the time, would that
7 have made a difference in terms of whether you
8 sought reimbursement for the dinner?

9 AMBASSADOR HOLBROOKE: No. There were
10 people at the meal, if this list is correct, that
11 were former Government employees, at least one,

12 [REDACTED]
13 [REDACTED] Right, and there were
14 several who were current Government employees.

15 AMBASSADOR HOLBROOKE: Apparently.

16 [REDACTED] According to the documents.

17 AMBASSADOR HOLBROOKE: Yes, but we've all
18 agreed that this isn't necessarily the exact people
19 who were in the room.

20 [REDACTED] Well, we didn't go over it
21 specifically. You stated that they were there--
22 well, just in terms--you don't recall who was

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1 there.

2 AMBASSADOR HOLBROOKE: I don't even
3 remember who was there. When you first asked--when
4 I first was asked about this dinner, I couldn't
5 even remember it.

6 [REDACTED] Okay. Did the meal, in
7 fact, have anything to do with any European
8 business that you were planning on conducting?

9 AMBASSADOR HOLBROOKE: No.

10 [REDACTED] What was the European travel
11 related to Credit Suisse that you were planning at
12 that point? Do you recall?

13 AMBASSADOR HOLBROOKE: What's the date?

14 [REDACTED] April of '96.

15 AMBASSADOR HOLBROOKE: I can't recall
16 specifically what I was planning on that specific
17 date, but there were general plans in the works for
18 trips to both Asia and Europe in the coming six to
19 eight months. Some of these plans occurred. Some
20 did not. And it would be absolutely impossible to
21 reconstruct it, except insofar as trips that
22 actually took place or whatever else you've got

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1 from our files based on your subpoena.

2 [REDACTED] Well, you, in fact, did take
3 a trip to Europe, more than one trip to Europe,
4 within a couple of months of this meal?

5 AMBASSADOR HOLBROOKE: Yes, that's right.

6 [REDACTED] And that was a Credit Suisse
7 business trip.

8 AMBASSADOR HOLBROOKE: Some of the trips
9 were purely Credit Suisse paid. At least one was
10 purely Government. And some were Credit Suisse
11 where in the course of it I did things on behalf of
12 the U.S. Government because I was a special
13 Government employee carrying the flag, explaining
14 our policy in an area of great vacuum and great
15 confusion, and in the specific case I mentioned
16 earlier, actually carrying messages.

17 [REDACTED] Did Credit Suisse pay for
18 the trip that was purely Government-related?

19 AMBASSADOR HOLBROOKE: No. I'm referring
20 to the July trip to Belgrade. That was a military
21 jet all the way, if my memory is--well, I--if my
22 memory is correct.

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1 [REDACTED] Did you ever submit any
2 Government vouchers for any expenses?

3 AMBASSADOR HOLBROOKE: Never--correction.
4 Never for per diem. There are some GT--there are
5 some Government vouchers for specific trips, which
6 I'm sure you have, and for specific hotel expenses
7 overseas. I never asked for per diem, and I kept
8 to an absolute minimum what I asked for Government
9 reimbursement. You have all those files, or you
10 can get them from EUREX. I assume you have them.

11 [REDACTED]: Was part of what you hoped
12 to accomplish in connection with the business trips
13 to Europe that occurred within several months of
14 this April lunch--or dinner, was part of what you
15 were hoping to accomplish on those trips enlisting
16 the support of the United States Government for
17 some of the business ventures that Credit Suisse
18 was pursuing in Europe?

19 AMBASSADOR HOLBROOKE: Never. It would
20 have been of no help, anyway. The U.S. Government
21 is not a benefit to an investment bank.

22 [REDACTED] Are you saying the

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1 President's policy is ineffectual?

2 AMBASSADOR HOLBROOKE: No. No, I'm not
3 saying that at all.

4 [REDACTED] As applied to investment
5 banks?

6 [REDACTED] I would have thought you
7 were saying--

8 AMBASSADOR HOLBROOKE: No. What I'm
9 saying--no. The President's policy is a generic
10 policy which--whose primary target is export-driven
11 businesses like Boeing versus Airbus or whatever.
12 But I did not need the U.S. Government to help me
13 see foreign government officials. I had better
14 access than Ambassadors. They could benefit by my
15 presence for their own work. I couldn't benefit by
16 theirs. In fact, quite the contrary. My dual hat
17 often hurt me badly and hurt our firm.

18 [REDACTED] Would it have been
19 beneficial to Credit Suisse in pursuing a
20 privatization of--

21 AMBASSADOR HOLBROOKE: CS First Boston.

22 [REDACTED] I'm sorry. CS First Boston.

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1 The name is changed.

2 AMBASSADOR HOLBROOKE: No, now it's Credit
3 Suisse First Boston. It was then CS First Boston
4 and generically referred to always as First Boston
5 in those days.

6 [REDACTED] Okay. In the first half of
7 1996, what would be the proper way to refer to it?

8 AMBASSADOR HOLBROOKE: First Boston was
9 the standard usage in the business.

10 Would you agree with that?

11 [REDACTED] I would. I'm not sure why
12 you--

13 AMBASSADOR HOLBROOKE: Because--I'm only
14 raising it because of the issue--

15 [REDACTED] Credit Suisse, a different
16 entity--

17 AMBASSADOR HOLBROOKE: Of course, because
18 I just think it--I don't--

19 [REDACTED] I'd like you to be as
20 precise as possible.

21 AMBASSADOR HOLBROOKE: Since you all are
22 into precision, and I--

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1 [REDACTED] In those first six months it
2 was referred to as First Boston.

3 [REDACTED] What was its status in terms
4 of American ownership versus U.S. ownership during
5 the first half of 1996?

6 AMBASSADOR HOLBROOKE: I can't answer you
7 in precise detail, but it was majority owned by a
8 Swiss bank called, then and now, Credit Suisse.

9 [REDACTED] Did you regard it as being a
10 company that was worthy of being supported by the
11 U.S. Government in pursuing overseas opportunities?

12 AMBASSADOR HOLBROOKE: You're talking
13 about--

14 [REDACTED] During this period--

15 AMBASSADOR HOLBROOKE: --when I was
16 Assistant Secretary of State?

17 [REDACTED] No, during this period, the
18 first half of 1996.

19 AMBASSADOR HOLBROOKE: I never thought
20 about it. Once I left the Government, I did not
21 consider the issue of whether it was an American
22 firm or not. That was not--because I didn't want

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1 Government support or help for me.

2 [REDACTED] Putting aside whether you
3 considered it at the time, knowing what you know
4 about the company, was it, in fact, a company that
5 would be categorized appropriately as an American
6 company during that time frame?

7 AMBASSADOR HOLBROOKE: Which time frame?

8 [REDACTED] The first half of 1996.

9 AMBASSADOR HOLBROOKE: When I'm with them,
10 not when I'm at EUR.

11 [REDACTED] Right, in February to July--

12 AMBASSADOR HOLBROOKE: You'd have to ask
13 somebody else.

14 [REDACTED] You were working at the
15 company during this period; right? You didn't know
16 whether it was an American company or a foreign
17 company?

18 AMBASSADOR HOLBROOKE: Is Chrysler-Daimler
19 an American company or a German company? It was
20 owned, majority owned by the Swiss. It employed
21 6,000 or more Americans. In my prior incarnation
22 in EUR, it had been stated that this was

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1 legitimately considered an American company. In
2 the modern world of hybrids, which is increasingly
3 common, this was considered an American company.
4 It's an enormous benefit to our national balance of
5 budget bottom line.

6 [REDACTED] When you dealt with the
7 issue in 1995, your information was that it was an
8 American company.

9 AMBASSADOR HOLBROOKE: Correct.

10 [REDACTED] And were you aware of any
11 change in circumstance between May of 1995 and
12 April of 1996?

13 AMBASSADOR HOLBROOKE: There was no change
14 in circumstance.

15 [REDACTED] Any reason why your
16 understanding of its pedigree would have been
17 different later?

18 AMBASSADOR HOLBROOKE: No. I understand
19 your question. I apologize for being obtuse. The
20 answer is no.

21 [REDACTED] I don't think obtuse is the
22 right word for it, but--

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1 AMBASSADOR HOLBROOKE: No, no, no. I
2 misunder--I didn't understand the question because
3 I--because once I joined the firm, this became a
4 non-issue to me. But now that I understand the
5 question, the answer is no.

6 [REDACTED] So during this period of
7 time, the first half of 1996, early February of
8 1996 on, in your mind, it would not have been
9 inappropriate if the American Government had
10 leveled the playing field for Credit Suisse, say,
11 in connection with a business opportunity that
12 other American companies were pursuing in, say, a
13 European country?

14 AMBASSADOR HOLBROOKE: Well, it's a
15 hypothetical from my point of view, since I never
16 was involved in such an event. But I think the
17 correct answer to the question is what was done in
18 1995 would have been equally valid in 1996 as an
19 abstract proposition.

20 [REDACTED]: Okay.

21 AMBASSADOR HOLBROOKE: Whether such an
22 event took place or not, I do not know. But it

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1 would have not been inappropriate--to use your
2 phrase, it would not have been inappropriate for
3 American Government officials to treat CS First
4 Boston in that way.

5 [REDACTED] Let's say during 1996, if
6 that's a useful time frame, are you aware of the
7 issue of First Boston's American pedigree coming
8 up--

9 AMBASSADOR HOLBROOKE: No.

10 [REDACTED] --in the way it did when you
11 were--

12 AMBASSADOR HOLBROOKE: No.

13 [REDACTED] --in EUR?

14 AMBASSADOR HOLBROOKE: No.

15 [REDACTED] Are you aware of it coming
16 up at the embassy level, an Ambassador asking
17 questions or expressing concern about whether it
18 was appropriate for--

19 AMBASSADOR HOLBROOKE: No, I don't think
20 so, [REDACTED] I can't recall any. It may have come
21 up outside my presence, but I have no memory of it
22 coming up.

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1 [REDACTED]
2 [REDACTED] Thanks [REDACTED] It might be
3 helpful--I suspect that Commerce and other people
4 in the Government, you know, have rules about these
5 things. I'm not familiar with them myself. But in
6 the general parlance of business, other than
7 somebody--in that 1995 time frame, nobody would
8 think it's not an American company. It was an
9 American company previously before it was bought by
10 Credit Suisse. It's incorporated in the United
11 States. It has 10,000, 20,000 U.S. employees.
12 Everybody thinks of it as an American company.
13 That's not something you think of at all.

14 AMBASSADOR HOLBROOKE: I'm not saying that
15 the subject never was raised. It's not impossible
16 that somebody said, you know, are you considered an
17 American company or not. But I have absolutely no
18 memory of it, and I don't believe that such a
19 conversation took place with me. But, in any case,
20 I don't consider it, you know, relevant.

21 [REDACTED] I believe at one point [REDACTED]
22 [REDACTED]

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1 AMBASSADOR HOLBROOKE: [REDACTED]
2 [REDACTED]
3 [REDACTED] The [REDACTED] argued that it was
4 a European company.

5 AMBASSADOR HOLBROOKE: A European company?
6 [REDACTED] Yes, because there was an
7 incidence in Europe where they were being--

8 [REDACTED] It was to his benefit to be
9 a European company.

10 [REDACTED] Exactly. So there was this
11 news account of him arguing--

12 [REDACTED] Depends how you look at it.

13 [REDACTED] Just because there are
14 Americans on the board, we are a European company.

15 [REDACTED] Depends on where you sit on
16 the board.

17 AMBASSADOR HOLBROOKE: I'm not sure what
18 that's about, but it was amusing.

19 [REDACTED] Maybe it was a distinct
20 entity. There are--

21 AMBASSADOR HOLBROOKE: Well, that's

22 [REDACTED] I don't know. I never worked with [REDACTED]

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1 [REDACTED] Okay. I think we're done at
2 Nora's.

3 [REDACTED] Let me just close that out
4 with a final question.

5 [REDACTED] Sure, go ahead.

6 [REDACTED] Was there anything about the
7 Nora's dinner in your mind that created any
8 business benefit to Credit Suisse, directly or
9 indirectly--

10 AMBASSADOR HOLBROOKE: No.

11 [REDACTED] --at the time or down the
12 road?

13 AMBASSADOR HOLBROOKE: No.

14 [REDACTED] Okay.

15 [REDACTED] Let's move to lunch at I
16 Ricchi, April 16, '96. What was the purpose of
17 this lunch?

18 AMBASSADOR HOLBROOKE: Who attended it?

19 [REDACTED]

20 [REDACTED]

21 AMBASSADOR HOLBROOKE: This was the same
22 kind of thing. I was just gathering together

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1 friends, in this case at a lower level, and mainly
2 [REDACTED] one [REDACTED] just to
3 get caught up on old times, to reminisce, and
4 because I was wearing a Government hat,
5 specifically in the case of some of them, probably
6 to discuss ongoing issues related to the crisis in
7 Bosnia, and I use the word crisis advisedly, given
8 the date. This is the low point of our policy in
9 Bosnia. But that's it.

10 [REDACTED] Was this lunch--were there any
11 other CS First Boston individuals present?

12 AMBASSADOR HOLBROOKE: No.

13 [REDACTED] Do you recall--

14 AMBASSADOR HOLBROOKE: And--what?

15 [REDACTED] Do you recall the lunch? Do
16 you have a specific recollection of the lunch?

17 AMBASSADOR HOLBROOKE: Very vague. I
18 remember a long table. I can't remember if we were
19 in a private room or in the back of the restaurant.

20 [REDACTED] But you have a specific
21 recollection that Credit Suisse First Boston, no
22 other CS First Boston representative was there?

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1 You do have a specific recollection that that's the
2 case?

3 [REDACTED] Any other people at this--

4 AMBASSADOR HOLBROOKE: We do not have a
5 Washington office, so...

6 [REDACTED] Any of the people on the
7 list from the I Ricchi lunch--any of the State
8 Department people on the I Ricchi list have
9 responsibility for promoting American business
10 overseas other than Kornblum? . . .

11 AMBASSADOR HOLBROOKE: Not directly.

12 [REDACTED] Anybody have an indirect
13 responsibility for that?

14 AMBASSADOR HOLBROOKE: I would say [REDACTED]

15 [REDACTED]
16 [REDACTED] probably has an indirect responsibility for
17 everything in the building, including this office.

18 But you would know better than me. But I never
19 discussed business with [REDACTED]

20 [REDACTED]

21 AMBASSADOR HOLBROOKE: No, [REDACTED] the

22 [REDACTED] No, [REDACTED]

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1 [REDACTED] So that's pure congressional.

2 [REDACTED]

3 [REDACTED]

4 [REDACTED] Just a very treasured group of very fine
5 Government officials, and we were just getting
6 together to talk about the past and current issues.

7 [REDACTED] Did you tell any of them who
8 was paying for the lunch?

9 AMBASSADOR HOLBROOKE: I don't remember.
10 The corporate credit card has a different color
11 than a regular credit card, so it might--I pay in
12 front of them, and that's that.

13 [REDACTED] Do you remember any
14 discussion about who was going to pay for the meal?

15 AMBASSADOR HOLBROOKE: I invited them. [REDACTED]

16 [REDACTED] I
17 think they assumed that meant I'd pay.

18 [REDACTED] Which was your anticipation,
19 I take it?

20 AMBASSADOR HOLBROOKE: Sure. This wasn't
21 Dutch treat.

22 [REDACTED] Right.

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1 AMBASSADOR HOLBROOKE: Particularly at
2 that restaurant, which I've never been back to.
3 [REDACTED]: As a Government employee, I
4 don't eat very often there, either.

5 AMBASSADOR HOLBROOKE: Well, I'd like to
6 take you there, but it might cause a problem.

7 No, seriously, it was--it's what I said.
8 We were going to--I invited them. It was an honor
9 to do so.

10 [REDACTED] As far as you know, did
11 Credit Suisse provide any other--pay for any other
12 benefits, gifts, things of value, to any of the
13 people that are on that list?

14 AMBASSADOR HOLBROOKE: Not that I know of.

15 [REDACTED] Other than this meal, and I
16 guess with respect to Kornblum, perhaps some other
17 entertainment?

18 AMBASSADOR HOLBROOKE: I don't think so,

19 [REDACTED]
20 [REDACTED] Birthday presents, holiday
21 presents, travel?

22 AMBASSADOR HOLBROOKE: I don't think so.

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1 I don't think so.

2 [REDACTED] No one was asked to take any
3 actions on behalf of Credit Suisse First Boston--CS
4 First Boston?

5 AMBASSADOR HOLBROOKE: Categorically not.

6 I assume you've talked to all these
7 people.

8 [REDACTED] Yes, as you have.

9 AMBASSADOR HOLBROOKE: No--

10 [REDACTED] Which is my question.

11 AMBASSADOR HOLBROOKE: No, I have not. I
12 have not talked to all the people on this list.

13 [REDACTED] Have you talked to some of the
14 people on the list?

15 AMBASSADOR HOLBROOKE: Yeah. Some called
16 in and said they'd been interviewed, and why--just
17 mentioned it, but I have not talked to--the people
18 on this list, at most I've talked to one. At most.
19 I may have talked to Kornblum in general terms
20 because he wanted to know what this was all about
21 when he read about it in the papers. I talked to
22 no one at all about it until it became public, and

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1 then the roof fell in. And--

2 [REDACTED] On this list.

3 AMBASSADOR HOLBROOKE: On this list, I did

4 not talk to [REDACTED] and

5 [REDACTED] to the best of my knowledge

6 [REDACTED] What about from the Nora's
7 list?

8 AMBASSADOR HOLBROOKE: Same thing on

9 Kornblum. No on [REDACTED] No on Berger. Donilon
10 mentioned to me being interviewed by you, gave me
11 no details. [REDACTED] same thing, and Johnson,
12 same thing.

13 [REDACTED] By same thing with

14 [REDACTED] you mean you have talked to [REDACTED]

15 AMBASSADOR HOLBROOKE: [REDACTED] called after

16 [REDACTED] been interviewed and said [REDACTED] one of our

17 biggest critics on Kosovo, and [REDACTED] calling all the

18 time to complain. In the course of one of these

19 calls, [REDACTED] said, "By the way, somebody came to see

20 me," and told me nothing more about. [REDACTED]

21 similarly.

22 [REDACTED]: Some people that we spoke with

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1 who attended these dinners and lunches indicated
2 that you had called them before we interviewed them
3 and brought up the possibility that we would be
4 speaking with them about their attendance at a
5 dinner or a meal, if you will. Do you recall
6 making any phone calls to that effect?

7 AMBASSADOR HOLBROOKE: In the course of
8 conversations about this whole thing, once it
9 became a huge public issue--and I cannot walk down
10 the street now without people coming up to me--
11 those people who discussed it with me who I thought
12 might be part of your inquiry process, I sometimes
13 said, You may be asked about something, and I may
14 have been specific or may not. If they said, well,
15 what are they going to ask me about, I might have
16 said, well, they've asked me a lot of questions
17 about a dinner I think we had together. One person
18 called us up and said they asked about a dinner
19 that he wasn't involved in. So you get all these
20 things. But that's the extent of it.

21 But your purpose of calling
22 them was not to provide advice on how to respond

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1 or--

2 AMBASSADOR HOLBROOKE: No.

3 [REDACTED] No?

4 AMBASSADOR HOLBROOKE: No. Of course not.

5 But I want to stress, [REDACTED] what is self-evident,
6 that once this thing became public--and that was
7 inevitable once we couldn't meet the Senate's
8 deadline--everybody called and said, What the
9 hell's going on? And those people who called were
10 people that might have been involved; I might have
11 mentioned that they might get called.

12 [REDACTED] Okay. Moving on to lunch at
13 the Four Seasons with Ambassador Frank Wisner. I
14 think I said "Wisener" a few times.

15 AMBASSADOR HOLBROOKE: And [REDACTED]

16 [REDACTED]
17 [REDACTED]: October 18th of '96.

18 AMBASSADOR HOLBROOKE: Isn't [REDACTED]
19 [REDACTED] there, my colleague at First Boston, who's

20 also [REDACTED] Am I mistaken in that?

21 [REDACTED] Yes, it's indicated on the
22 voucher.

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1 AMBASSADOR HOLBROOKE: Yes. What is the
2 question?

3 [REDACTED] The purpose for the lunch?

4 AMBASSADOR HOLBROOKE: Frank Wisner is my
5 oldest friend in the Government and one of my
6 closest. [REDACTED] is one of my colleagues at CS
7 First Boston. He was in town. We just wanted to
8 get together, and [REDACTED] and I just wanted to take
9 him out to a really nice lunch and talk about
10 family matters. [REDACTED]

11 [REDACTED] You get caught up. I had not seen him
12 in a long time. He's a very special friend.

13 [REDACTED] What kind of business at that
14 time did CS First Boston have in India?

15 AMBASSADOR HOLBROOKE: I really don't
16 know. I'd never been to India at that time except
17 years ago as a tourist, and I don't know the answer
18 to that question. I never--I don't know what it
19 was.

20 [REDACTED] Was there a proposed--or was
21 there some sort of branch office being created at
22 that time?

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1 AMBASSADOR HOLBROOKE: There were some
2 First Boston people in India whom I did not know.
3 Whether it was a branch office or they were just
4 there as a rep office, I have no idea.

5 [REDACTED] What was the other person
6 present?

7 AMBASSADOR HOLBROOKE: [REDACTED]
8 who's [REDACTED] and [REDACTED] in

9 [REDACTED] And this was just a
10 celebration lunch. No business was discussed.
11 [REDACTED] Why is it that [REDACTED] --and
12 correct me if I'm wrong, if [REDACTED] did not fill this
13 in, and if you did, let me know. Someone indicated
14 that the purpose was India branch office.

15 AMBASSADOR HOLBROOKE: I have no idea.
16 [REDACTED] was--you have to ask [REDACTED]

17 [REDACTED] Is it reasonable to think that
18 [REDACTED] would know about an India branch office
19 that you did not know about?

20 AMBASSADOR HOLBROOKE: I have no idea. I
21 really don't know.

22 [REDACTED] But is that reasonable that

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1 [] would know about--

2 AMBASSADOR HOLBROOKE: Yeah, sure. It's
3 quite possible. [] in the firm all the time.
4 I'm off in Bosnia doing all this other stuff. []
5 sits next to people.

6 [] Is it an accurate statement
7 to say that it related to--

8 AMBASSADOR HOLBROOKE: India branch
9 office?

10 [] That that was a business
11 purpose of that lunch?

12 AMBASSADOR HOLBROOKE: That what, []
13 I didn't--

14 [] Sorry, that got kind of
15 garbled. Would it be accurate to describe your
16 lunch with Ambassador Wisner as having a business
17 purpose related to the CSFB branch office in India?

18 AMBASSADOR HOLBROOKE: No, it would not be
19 accurate.

20 [] You didn't provide []
21 with the information--

22 AMBASSADOR HOLBROOKE: No.

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1 [REDACTED] --for that form?

2 AMBASSADOR HOLBROOKE: No. I did not
3 because we did not discuss it.

4 [REDACTED] Was it part of your
5 understanding in terms of the extra perks that you
6 were entitled to that although you could be
7 reimbursed for things that didn't have a business
8 purpose, you nonetheless had to indicate a business
9 purpose on the form?

10 AMBASSADOR HOLBROOKE: I never--I didn't
11 even know about this. I didn't know about this
12 form.

13 [REDACTED] I said was it part of your
14 understanding that you nonetheless had to reflect a
15 business purpose on the form even though your
16 understanding was that it would be reimbursable
17 even if it were personal?

18 AMBASSADOR HOLBROOKE: I just told [REDACTED]
19 to fill out the damn forms. I never read them. So
20 I can't answer your question, although I understand
21 it. I can't answer it because you're asking me
22 whether I was, you know, told that I would have to

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1 put down X in order to justify an expense, and I
2 don't--that isn't--that is not what happened. I
3 gave [] these things. [] filled out the forms.

4 [] So you never instructed []
5 in a general way, when you fill these forms out,
6 you have to put a business purpose down?

7 AMBASSADOR HOLBROOKE: No. I didn't know
8 what these forms were about or how to fill them
9 out. [] went to some kind of training school on
10 filling out the forms. I think. I don't even know
11 if that's true. I'm just assuming [] did. []
12 went to computer classes.

13 []: You did travel to India at
14 some point to visit Ambassador Wisner; right?

15 AMBASSADOR HOLBROOKE: Right.

16 []: You []

17 AMBASSADOR HOLBROOKE: Yes.

18 [] Do you recall when that was?

19 AMBASSADOR HOLBROOKE: November of '96.

20 [] That was a month or so after
21 this.

22 AMBASSADOR HOLBROOKE: Right. And one of

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1 the main things we talked about at this lunch was
2 that trip.

3 [REDACTED] What was the nature of that
4 trip? Was that purely personal?

5 . . . AMBASSADOR HOLBROOKE: He invited [REDACTED] -he
6 invited [REDACTED] and me to come to visit him in New
7 Delhi and then go with him to the Kingdom of Bhutan
8 with a group of friends he was organizing.

9 [REDACTED] Did that have--was there any
10 aspect of that trip that related to Credit Suisse
11 business -- [tape change] -- the India part of that
12 travel?

13 AMBASSADOR HOLBROOKE: Oh, India, I
14 started in Bombay and made some business calls wt
15 the Bombay--with one of the CS people who worked
16 for the firm in Bombay, and then--and I made a
17 speech to the Indian American Chamber of Commerce,
18 and then I flew on to New Delhi.

19 [REDACTED] Would your making a speech
20 to the India Chamber of Commerce be in your mind
21 facilitating the business interests of CS First
22 Boston?

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1 AMBASSADOR HOLBROOKE: I have no idea.
2 I'm responding to their request. That's what--I do
3 that all the time. But then I did not see Wisner
4 in Bombay. I saw him when I got to New Delhi.

5 [REDACTED] Would giving speeches to a
6 group of that sort, was that something that you
7 viewed as part of your job at CS First Boston?

8 AMBASSADOR HOLBROOKE: I don't know how to
9 answer that, [REDACTED] It's part of what I did. Did
10 I do it for First Boston or did I just do it the
11 way we all make speeches from time to time? I just
12 did it.

13 [REDACTED] Is there currently a branch
14 office in India?

15 AMBASSADOR HOLBROOKE: I don't know.

16 [REDACTED] Do you know if there ever had
17 been?

18 AMBASSADOR HOLBROOKE: I don't know. I
19 have not been back since, and I have never done any
20 Indian-related business.

21 [REDACTED] Did you speak with Ambassador
22 Wisner after we had interviewed him?

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1 AMBASSADOR HOLBROOKE: Yes.

2 [REDACTED] And did you just kind of
3 discuss--

4 AMBASSADOR HOLBROOKE: I don't know--

5 [REDACTED] --between the two--

6 AMBASSADOR HOLBROOKE: Let me be more
7 precise. I don't know when you interviewed him,
8 but he--but I see him fairly often, and he said
9 you'd interviewed him. You'd interviewed him.

10 [REDACTED] Did CS First Boston pay for
11 the entire India trip?

12 AMBASSADOR HOLBROOKE: Yes--up to New
13 Delhi. I think I paid to Bhutan myself.

14 [REDACTED] Was there something about
15 the Bhutan part of it that made it not appropriate
16 in your mind to seek reimbursement for it?

17 AMBASSADOR HOLBROOKE: No. It's just a
18 vacation.

19 [REDACTED] So the perk package didn't
20 extend to paying for vacation?

21 AMBASSADOR HOLBROOKE: I don't know who
22 paid for it. I said I think I paid for it myself,

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1 but I'm not even sure of that.

2 [REDACTED] Did you have any discussions
3 with Ambassador Wisner at any time which gave him
4 the impression that CS First Boston wanted to open
5 an office in Bombay?

6 AMBASSADOR HOLBROOKE: Not that I recall.

7 Open a what office in Bombay?

8 [REDACTED] A CS First Boston office.

9 AMBASSADOR HOLBROOKE: There was an office
10 in Bombay.

11 [REDACTED] There was in Bombay?

12 AMBASSADOR HOLBROOKE: Yeah.

13 [REDACTED] Okay.

14 AMBASSADOR HOLBROOKE: There was an office
15 that existed before I got there. It exists--I
16 don't know if it still exists now.

17 [REDACTED] Did you ask Ambassador Wisner
18 to take any actions on behalf of CS First Boston?

19 AMBASSADOR HOLBROOKE: No.

20 [REDACTED] Okay.

21 [REDACTED] Did he attend any meetings
22 that you had in India--

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1 AMBASSADOR HOLBROOKE: No.

2 [REDACTED] --in connection with First
3 Boston?

4 AMBASSADOR HOLBROOKE: No.

5 [REDACTED] Let's move on to dinner at your
6 residence in New York on October 28, 1996.

7 AMBASSADOR HOLBROOKE: What dinner is
8 that?

9 [REDACTED] Do you have the voucher on
10 this?

11 AMBASSADOR HOLBROOKE: Harriman Institute
12 speech. Is that the one?

13 [REDACTED] Yes. What is the Harriman
14 Institute?

15 AMBASSADOR HOLBROOKE: It's a division of
16 Columbia University set up by [REDACTED] and [REDACTED]
17 [REDACTED] to study--for academics on the former
18 Soviet Union. Strobe Talbott--I am the--I was a
19 very close associate of the [REDACTED] and Strobe
20 Talbott was going to speak there the next day.

21 [REDACTED] And the purpose of this dinner?

22 AMBASSADOR HOLBROOKE: Just a dinner with

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1 a very dear friend and some of his friends. This
2 guest list is not correct.

3 [REDACTED] Okay. Go ahead and correct it
4 for us. Who can you recall being present?

5 AMBASSADOR HOLBROOKE: I can't tell you
6 exactly who was present, but I can tell you
7 categorically [REDACTED] was not there, and
8 [REDACTED] was not there. I don't have
9 any memory of [REDACTED] being there, but [REDACTED] might
10 have been. [REDACTED] were definitely there,
11 and there may have been other people.

12 [REDACTED] Let me ask you, the corrections
13 that you just stated, are they from your memory of
14 the dinner, or are they from phone conversations
15 you've had with these individuals since--during the
16 investigation?

17 AMBASSADOR HOLBROOKE: I don't think
18 [REDACTED] has ever been to my house, but I may be
19 wrong. I know [REDACTED] wasn't there. I know that
20 because I remember--I remember very vividly.
21 Strobe stayed with us overnight. He didn't just
22 come to dinner. He was our house guest during that

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1 trip. And [redacted] was definitely there because
2 [redacted] was [redacted] And
3 [redacted] I know wasn't there because I
4 remember clearly that Strobe would not have stayed
5 with us if [redacted] had been with us, unless
6 [redacted] had also stayed, and we have two bedrooms,
7 and only one was occupied, and you do remember your
8 house guests.
9 [redacted] Especially the ones that don't
10 leave.

11 AMBASSADOR HOLBROOKE: But I want to
12 stress, [redacted] I don't know who else was at the
13 dinner. I'm only telling you who on this list was
14 not at the dinner. There may have been other
15 people there. My memory fails me. And [redacted]
16 sometimes would invite people at the last minute.
17 [redacted] So do you recall--the front of
18 the voucher indicates the business purpose is
19 Harriman Institute speech, whereas the guest list--
20 on top of the guest list, it reflects dinner in
21 honor of Deputy Secretary of State Strobe Talbott.

22 AMBASSADOR HOLBROOKE: So what?

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1 [REDACTED] What was the purpose?

2 AMBASSADOR HOLBROOKE: The purpose of the
3 dinner. It was just to have some of Strobe's
4 friends over. It was a social event.

5 [REDACTED] It had no business purpose?

6 AMBASSADOR HOLBROOKE: God, no.

7 [REDACTED] And the voucher which states
8 business purpose says Harriman Institute speech.
9 Is that accurate?

10 AMBASSADOR HOLBROOKE: The next day, as I
11 mentioned earlier, Strobe gave a major dinner at
12 the Harriman--a major speech at the Harriman
13 Institute.

14 [REDACTED] Right. Was that a business-
15 -was there some business associated--

16 AMBASSADOR HOLBROOKE: No.

17 [REDACTED] --to Credit Suisse First
18 Boston in connection with that?

19 AMBASSADOR HOLBROOKE: God, no. It's an
20 academic setting, and--academic setting, major
21 foreign policy speech on U.S. relations with
22 Russia.

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1 [REDACTED] : Is it your view, or was it
2 your view at the time that we're talking about,
3 1996--

4 AMBASSADOR HOLBROOKE: I'm sorry, [REDACTED]
5 [REDACTED] : That's okay. Feel free to
6 take as much time as you want.

7 AMBASSADOR HOLBROOKE: No, no. That's
8 all. I missed your question.

9 [REDACTED] Taking you back to this time
10 frame, if that helps make the question more
11 focused--

12 AMBASSADOR HOLBROOKE: Sure.
13 [REDACTED] : In your view, was it part of
14 your duties as Vice Chairman of CS First Boston to
15 maintain and develop contacts and relationships
16 with people who held positions of significance in
17 the U.S. Government?

18 AMBASSADOR HOLBROOKE: No.
19 [REDACTED] Having access to people like
20 that was not of value to you in any of your
21 business work?

22 AMBASSADOR HOLBROOKE: My relations with

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1 Strobe Talbott and other Government officials all
2 came under my Government hat. I was at that
3 particular point just back from my second
4 presidential mission to Bosnia as a special
5 Government employee. I'd been there in September
6 again, heading the presidential observer mission to
7 the Bosnian elections. This was a major foreign
8 policy speech. Strobe was coming to New York. We
9 had to talk about Bosnia, Russia, a whole slew of
10 other things. It was entirely wearing the other
11 hat.

12 I recognize that this is complicated and
13 confusing to some people. I was aware of that, and
14 I bent over backwards at every single moment to
15 keep the two hats and the two lives separate.
16 Sometimes it was harder than other times, but I
17 always kept them separate. I never discussed
18 business with Government officials or asked them
19 for business favors. Most of them never knew what
20 I did or would have understood it, to be quite
21 frank.

22 I understand your question, but there is

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1 no--that is not what First Boston expected from me.
2 I was not hired to have access to or influence with
3 Government officials.

4 I'm not suggesting there's
5 anything wrong with that. I'm just asking you the
6 question.

7 AMBASSADOR HOLBROOKE: Well, maybe there
8 wouldn't be something wrong with it, and many
9 people leaving this town and who were involved in
10 the city go directly into private business where
11 their primary or sole function is to use their
12 prior access. I don't do that. I never have and I
13 never will.

14 I spent 12 years on Wall Street in the
15 '80s at Lehman Brothers, and I was hired to do
16 banking, and the U.S. Government and its officials
17 would never, never involve that. And I kept the
18 two incredibly compartmentalized, but apparently not
19 to the satisfaction of an anonymous letter writer
20 or somebody else. But I am telling you that. They
21 may have misunderstood. My Government hat hurt me
22 in business, aggressively, accurately hurt me. As

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1 I said earlier, and I think I said to you when I
2 saw you last, although--because that interview
3 caught me off balance, I hadn't really focused and
4 refined my thinking, as I obviously have over the
5 five months since I saw you last. But it hurt me
6 big time--big time--my Government connections.

7 And I would--well, I don't want to
8 speculate on how they feel about having hired me,
9 but let me be clear. I spent far more time wearing
10 that Government hat than I expected to, than they
11 expected to, than my counsel expected to when he
12 negotiated the arrangements, or than they wanted.
13 I did it because that's all I care about. And
14 lives were at stake. In addition to the normal
15 national interest of the United States, in one
16 particular area, 20,000 men and women were at
17 stake.

18 But even beyond that, in less explicit
19 areas, like that Hungarian-Slovak state treaty I
20 talked about earlier, there was a huge national
21 interest. And nobody was going to Central Europe,
22 and I had been the primary negotiator, so I go and

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1 I carry messages, and I push it forward. And it's
2 a great triumph for the U.S., and I'm proud to have
3 done that. But it didn't help me with the goddamn
4 firm, which finally brings us to the demonstrations
5 last week when my colleagues can't get into their
6 own offices. Excuse me for venting, but I'm sure
7 you understand why I feel it necessary to repeat
8 myself. Sorry, [REDACTED]

9 [REDACTED] So no one at the dinner at your
10 residence took any actions on behalf of Credit
11 Suisse First Boston to facilitate any, say, for
12 example, meetings for upcoming trips that you were
13 taking or--

14 AMBASSADOR HOLBROOKE: No one--

15 [REDACTED] To Europe. Trips that you took
16 to Europe--

17 AMBASSADOR HOLBROOKE: I know. What was
18 the first half of the question?

19 [REDACTED] Did anyone at the dinner
20 facilitate any--

21 AMBASSADOR HOLBROOKE: You're talking
22 about the Strobe Talbott dinner?

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1 [] Yes.

2 AMBASSADOR HOLBROOKE: No.

3 [] : Okay. CS First Boston paid for
4 a lunch in Berlin for then Deputy Chief of Mission
5 at the U.S. Embassy at Bonn, J.D...

6 AMBASSADOR HOLBROOKE: Bindenagel.

7 [] Bindenagel. Thank you. Do you
8 recall that lunch?

9 AMBASSADOR HOLBROOKE: What, the lunch
10 with Bindenagel?

11 [] Yes, January 17th of '97. Do
12 you have the voucher?

13 [Pause.]

14 AMBASSADOR HOLBROOKE: Where was this?
15 Berlin? What city was this in?

16 [] The voucher indicates Berlin.

17 AMBASSADOR HOLBROOKE: I have no memory of
18 it, [] [] I have no memory of it.

19 [] Do you see in the voucher
20 there's an American Express bill attached, and it
21 says--oh, you don't have the attachments to it?
22 Okay. Fine. I'll show you.

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1 It's written on there, the receipt, I
2 believe, lunch with...

3 AMBASSADOR HOLBROOKE: Bindenagel.
4 [REDACTED] Bindenagel. DCM. Do you see
5 that--

6 AMBASSADOR HOLBROOKE: Right, right.
7 [REDACTED] Is that your writing?

8 AMBASSADOR HOLBROOKE: No.
9 [REDACTED] Do you know whose writing that
10 is?

11 AMBASSADOR HOLBROOKE: [REDACTED]
12 This is my writing.

13 [REDACTED] Why would CS First Boston pay
14 for a lunch for the Deputy Chief of Mission of the
15 Embassy--

16 AMBASSADOR HOLBROOKE: Same reasons as for
17 the I Ricchi lunch. He had been my DCM. I had
18 chosen him for the job. He was a friend, good
19 Foreign Service officer. We were getting together
20 to discuss policy issues and get caught up on
21 social things, and I picked up the tab.

22 [REDACTED] So it was a personal lunch,

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1 would you characterize it, versus business?

2 AMBASSADOR HOLBROOKE: Well, it was social
3 and I suspect, given the date of--what was the date
4 of it?

5 [REDACTED] January 17th of '97.

6 AMBASSADOR HOLBROOKE: I'm sure we talked
7 policy issues, Bosnia particularly. We probably
8 talked about U.S.-German relations, mutual friends,
9 the usual.

10 [REDACTED] Do you know what business
11 Credit Suisse First Boston had in Germany during
12 that time period?

13 AMBASSADOR HOLBROOKE: No. They had a big
14 office in Frankfurt, which at that time I had never
15 visited.

16 [REDACTED] And you didn't go on that trip
17 to the office?

18 AMBASSADOR HOLBROOKE: I don't think so,
19 but I'm not positive.

20 [REDACTED] Do you recall, did CS First
21 Boston pay for your trip to Germany?

22 AMBASSADOR HOLBROOKE: Yes.

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1 [REDACTED] Did you ask Mr. Bindenagel to
2 take any actions on behalf of Credit Suisse First
3 Boston?

4 AMBASSADOR HOLBROOKE: No.

5 [REDACTED] And to your knowledge, had he
6 done so in the past?

7 AMBASSADOR HOLBROOKE: No. Oh, he had not
8 done anything at my request. I have no idea what
9 else [REDACTED] did.

10 [REDACTED] Right. Exactly. Sure. I'm
11 not asking you for [REDACTED]

12 [REDACTED] Did you have a business
13 reason for being in Germany?

14 AMBASSADOR HOLBROOKE: I don't--you mean--

15 [REDACTED] During this trip.

16 AMBASSADOR HOLBROOKE: I don't remember.

17 I honestly don't remember. I might have.

18 [REDACTED] Did you have a reason
19 associated with being, you know, sort of a special
20 envoy on Bosnia--

21 AMBASSADOR HOLBROOKE: Bindenagel, by the
22 way--

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1 [REDACTED] --to be in Germany?

2 AMBASSADOR HOLBROOKE: I should point out
3 that Bindenagel--what's the date of this? January
4 '97?

5 [REDACTED] Right.

6 AMBASSADOR HOLBROOKE: Bindenagel is at
7 that point chargé, not DCM. So he's the acting
8 Ambassador. That's an important point. He's the
9 acting Ambassador, which he was for 11 months
10 between Redman, my successor, and Kornblum, who's
11 there now. And so there was a lot to talk about,
12 Bosnia-related stuff, social stuff, foreign policy,
13 Foreign Service gossip.

14 [REDACTED] But putting aside what you
15 might have talked to Bindenagel about, your
16 presence in Germany--

17 AMBASSADOR HOLBROOKE: Do you have my
18 schedule? Was [REDACTED] on that trip or not? I don't
19 know. I have no memory, [REDACTED] of that.

20 But that doesn't mean the answer is no. I
21 go to Berlin a lot because I am the chairman of--
22 the founder of the American Academy in Berlin,

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1 which opened its doors formally last week. You
2 might have seen the articles in the New York Times
3 and Washington Post. And so I have a special
4 relationship with Berlin.

5 [REDACTED] hands Ambassador Holbrooke a -
6 document.]

7 AMBASSADOR HOLBROOKE: Oh, this is the
8 trip. There was no business on this trip. This--
9 is this the trip we're talking about, January 15th?
10 Okay:

11 [REDACTED] This is RCH 206 and 207.

12 AMBASSADOR HOLBROOKE: There is no
13 business on this trip. Thank you for producing
14 this.

15 See, I go- [REDACTED] I go to Germany so often
16 to the American Academy and other things that I
17 just--okay. Can I walk you through this trip,

18 [REDACTED]
19 [REDACTED] Sure, go ahead.

20 AMBASSADOR HOLBROOKE: Very quickly.

21 This was my first trip back to Germany
22 since I left the Government, I think. I went to

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1 Bonn to receive an award from the German Government
2 called the Monford Werner (ph) award in honor of
3 the late Secretary-General of NATO. This was the
4 first award ever given by the Germans of this sort.
5 It was a very great honor.

6 Bindenagel and I spent a lot of time
7 together. He was the acting Ambassador. It was
8 very important he participate in these--this was
9 wearing--I was wearing my USG hat and former
10 American Government official. The schedule's very
11 clear. Bindenagel and I, we go to the awards
12 ceremony. I meet [redacted] who,
13 despite [redacted] is a [redacted] friend of mine.
14 We have dinner with--I have dinner with [redacted]
15 [redacted]

16 [redacted] I spent the night at a hotel. The
17 next morning I go to Berlin and have a meeting with
18 a German friend of mine. I have lunch with another
19 friend of mine, according to this.

20 I see. Okay. I see what happened. So
21 there's a difference between this and this. So
22 some of it changed. I met with [redacted]

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1 a German friend of mine; [REDACTED]
2 [REDACTED] another friend of mine.

3 The next morning, Bindenagel and I,
4 according to this, had breakfast with [REDACTED]
5 and then I leave. So there's no business at all.
6 Zero.

7 There's also a dinner with Bindenagel, if
8 I'm talking about the same trip. I may have these
9 trips mixed up. Is this the same trip?

10 [REDACTED] This is January 17th.

11 AMBASSADOR HOLBROOKE: Is that the same
12 trip that J.D. gave the dinner for me?

13 [REDACTED] According to this, I think it
14 is.

15 [REDACTED] The dinner was September 7th of
16 '96.

17 AMBASSADOR HOLBROOKE: Okay, so that's two
18 different--yeah, two different trips. Okay. So
19 this wasn't my first trip to Berlin since I left
20 the Government. It would have been my second.
21 Okay. Yeah, that makes sense.

22 I have the two trips completely merged

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1 into one in my mind. Sorry about that.

2 [REDACTED] On the first one, in September,
3 did you have--were you there on CS First Boston
4 business?

5 AMBASSADOR HOLBROOKE: Again, I have to
6 look at my schedule, but they paid for the trip,
7 that's for sure.

8 Do you have the September--

9 [REDACTED] I might. I didn't come fully
10 loaded and break everything out. But let me see if
11 I do.

12 [Pause.]

13 [REDACTED] RCH 32 might be the document.
14 [REDACTED] hands Ambassador Holbrooke a
15 document.]

16 AMBASSADOR HOLBROOKE: This is not it.
17 This is something entirely different.

18 [REDACTED] Yes, that's the 17th. The
19 dates changed.

20 AMBASSADOR HOLBROOKE: Okay. So that's
21 the September--I see. I had two trips kind of
22 merged into one in my mind. I don't remember any

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1 business on this trip, but I may have had some
2 business meetings. In any case, if there were
3 business meetings, they were set up by me or our
4 Frankfurt office.

5 Yeah, there's a clear business meeting on
6 here, if it took place, and that's with [REDACTED]
7 [REDACTED] and that was set up by my
8 office in Frankfurt, by our office in Frankfurt.

9 And--

10 [REDACTED] How do you spell [REDACTED] last name?

11 AMBASSADOR HOLBROOKE: [REDACTED]

12 [REDACTED]: This is RCH 31.

13 AMBASSADOR HOLBROOKE: May I just ask,
14 because it's noon and I have to sort of adjust, can
15 you give me any sense of whether we're 10 percent
16 through or 75 percent through or--

17 [REDACTED] Why don't we go off the
18 record?

19 [REDACTED] Why don't we go off the
20 record here for a second?

21 [Discussion off the record.]

22 [REDACTED] Do you recall Mr. Bindenagel--

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1 AMBASSADOR HOLBROOKE: Bindenagel.

2 [REDACTED] I apologize for butchering his
3 name here. Do you recall the dinner he held in
4 your honor--

5 AMBASSADOR HOLBROOKE: Yes.

6 [REDACTED] --in September? You do? Okay.
7 I've got to ask you a question, and the only reason
8 I'm asking is because on the guest list it doesn't
9 refer to you in your current or former State
10 Department status but, rather, in honor of
11 Ambassador Richard Holbrooke and [REDACTED]
12 Vice Chairman, Credit Suisse First Boston Bank. So
13 with that, I just want to ask--and I'll show you
14 the guest--I guess you have it there.

15 Were any people in attendance there, did
16 anyone in attendance have any business with CS
17 First Boston that you are aware of?

18 AMBASSADOR HOLBROOKE: No. No. And the
19 reason--I'm very familiar with this form because I
20 was--when I was Ambassador, this form was made out
21 all the time. This is done by some--this is done
22 by some secretary in the Protocol Office in Bonn,

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1 and it's a routine form, and that happened to be my
2 title. It says Ambassador Holbrooke, and then it
3 gives my current job. The attendance is entirely
4 non-business.

5 [REDACTED] Moving on to dinner at
6 Capriani's Restaurant.

7 AMBASSADOR HOLBROOKE: What's that?

8 [REDACTED] Capriani? Cipriani's, is that
9 how you say it?

10 AMBASSADOR HOLBROOKE: I don't even know
11 what--

12 [REDACTED] I believe it's in New York, New
13 York City.

14 AMBASSADOR HOLBROOKE: I have no memory of
15 this. What are we talking about?

16 [REDACTED] February 20th of '97.

17 AMBASSADOR HOLBROOKE: With who?

18 [REDACTED] With Under Secretary Tarnoff.

19 AMBASSADOR HOLBROOKE: Yeah, that's a
20 pure--

21 [REDACTED] And [REDACTED]

22 AMBASSADOR HOLBROOKE: That's just the

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1 three of us?

2 [REDACTED] That's all that's indicated.

3 AMBASSADOR HOLBROOKE: God, I had no
4 memory of that until you mentioned it. Now I
5 vaguely remember it. Business purpose, diplomatic
6 relations. Yeah, that's fine. Tarnoff was another
7 one of my oldest friends. He was one of the key
8 people I interacted with during the--wearing my
9 special Government employee hat. I hadn't seen him
10 in a long time. They were in New York. I took
11 them out to dinner. Business was never discussed.

12 [REDACTED] The purpose of the voucher
13 being diplomatic relations, is that--

14 AMBASSADOR HOLBROOKE: That's [REDACTED]

15 [REDACTED] Okay. So that's not accurate?

16 AMBASSADOR HOLBROOKE: It was--it was a
17 social dinner, but we talked about policy issues,
18 non-business. I was wearing--it was either social
19 or the U.S. Government hat. You're talking to the
20 Under Secretary of State, the number three guy in
21 the Department. A new administration is formed up
22 in Washington. Madeleine has just taken over as

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1 Secretary of State, and the number one policy issue
2 is how to make sure we regain the momentum in
3 Bosnia. There are 300,000 people in the streets in
4 Belgrade demonstrating against Milosevic. Policy
5 is under considerable tension. I've already met
6 privately with Albright, and she has said, "I wish
7 you'd continued with Bosnia," notwithstanding
8 anything you've read about my relations with her.
9 They were very good and very close. And Tarnoff is
10 in New York. I don't know what he's doing in New
11 York, but he calls up or and says, "I'm going to be
12 in New York," and I say, "Let's have dinner," and
13 vice versa.

14 By the way, I don't believe that [redacted]
15 [redacted] arrived at the dinner until the end, as I
16 reconstruct it, because there's this vivid picture
17 of us sitting in a corner at a table in a very,
18 very noisy restaurant, and [redacted] was not there until
19 the end. But that's circumstantial.

20 Anyway, bottom line, once again, never
21 discussed business.

22 [redacted] Does Credit Suisse--does CS

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1 First Boston have any vested interest in your
2 relationship with Mr. Tarnoff?

3 AMBASSADOR HOLBROOKE: No. Oh, you mean
4 my current and present relationship?

5 [REDACTED] Your relationship in February
6 of '97.

7 AMBASSADOR HOLBROOKE: Okay. None at all.
8 [REDACTED] We're kind of through with the
9 meals. I just would like to go back--

10 AMBASSADOR HOLBROOKE: Except our meal,
11 which I'd like to invite you to, but...

12 [REDACTED] I'd like to go back the policy
13 of CS First Boston. Do you have it?

14 AMBASSADOR HOLBROOKE: The policy?

15 [REDACTED] I'll give it to you in a
16 moment. It states on the second page, Section 4.1,
17 Sheet No. 1 of 1, under General Policy for
18 Expenses, paragraph S states in part, "Business-
19 related expenses must exclude expenditures for
20 employee's direct or indirect personal benefit and
21 for non-employees, relatives and friends of
22 employees. Exceptions such as expenses incurred on

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1 behalf of spouses accompanying employees on firm
2 business requiring travel outside their office
3 location must be approved in advance by a member of
4 the Operating Committee."

5 [] hands Ambassador Holbrooke a
6 document.]

7 AMBASSADOR HOLBROOKE: Yes.

8 [] I guess my question would be:
9 How do you square the policy up with your practice
10 of vouchering--

11 AMBASSADOR HOLBROOKE: First of all, I've
12 never seen this piece of paper before.

13 [] Right.

14 [] : Can I assume that you're not
15 interested in trying to establish that he may have
16 violated a CS First Boston policy?

17 [] What we're trying to establish
18 is why CS First Boston paid for--

19 [] : We're trying to get the
20 facts down.

21 [] I understand that.

22 [] The significance of the

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1 facts we can discuss later, but I don't want to get
2 into a debate with you here about whether this is
3 important or unimportant. I think the question is,
4 basically, is he aware of this policy. I think
5 we've talked about this already. I assume you
6 still don't recall ever looking at this--

7 AMBASSADOR HOLBROOKE: Never saw--
8 [REDACTED] --policy and being familiar
9 with it.

10 AMBASSADOR HOLBROOKE: No.
11 [REDACTED]: Or having been made aware of
12 it orally?

13 AMBASSADOR HOLBROOKE: No. But, in any
14 case, the superseding document is my own contract
15 which [REDACTED] negotiated, which specifically covers
16 the item about spouse expenses and travel and
17 implicitly covers the rest of it.

18 [REDACTED] Is there anything in that
19 document that you believe covers the scope of
20 entertainment expenses that you can claim?

21 [REDACTED] No.
22 [REDACTED] Is that the contract you

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1 were just referring to?

2 [REDACTED] Two or three things which
3 are specifically not in this contract because they
4 would not have wanted--

5 AMBASSADOR HOLBROOKE: I'm going to step
6 out a moment.

7 [Recess.]

8 [REDACTED] Moving along, for your business
9 trips overseas, who scheduled your meetings for
10 you?

11 AMBASSADOR HOLBROOKE: Either the local
12 office or [REDACTED] or [REDACTED] (ph).

13 [REDACTED] The Local CSFB office?

14 AMBASSADOR HOLBROOKE: Local First Boston
15 office. On the business side. On the business
16 side.

17 [REDACTED] And how would they know who to
18 schedule meetings with? Would you pretty much
19 direct--

20 AMBASSADOR HOLBROOKE: No.

21 [REDACTED] Or would they advise you--

22 AMBASSADOR HOLBROOKE: The initiative

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1 comes from the local office, the Frankfurt office.
2 It asks me to make a business call or two, and I
3 try to meet their--it's the usual thing.

4 [redacted] What about the meetings that
5 [redacted] scheduled for you?

6 AMBASSADOR HOLBROOKE: Usually, [redacted] might
7 initiate it [redacted] might work it out with the
8 local office. [redacted] evolved. When [redacted] started out,
9 [redacted] was sort of confused and didn't know how to do
10 anything, and [redacted] came at a very- [redacted] a very good
11 [redacted] but [redacted] had no prior business experience. And
12 [redacted] was hired by the firm specifically to work as [redacted]
13 [redacted] because of this imploding set of things
14 that were coming up from all directions. And [redacted]
15 wanted to learn the business.

16 At first, [redacted] was totally confused. [redacted]
17 didn't know debt from equity. But [redacted] learned.
18 [redacted] learned well. But the first period was a huge
19 learning curve, and there was a lot of chaos
20 because I was totally diverted towards other
21 things, and we were trying to do too much at once,
22 and I had [redacted]

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1 [REDACTED]
2 [REDACTED] approach evolved over
3 time, but the answer to your question is sometimes
4 [REDACTED] structured the meetings at [REDACTED] own initiative,
5 and sometimes [REDACTED] responded to other requests. . .
6 [REDACTED] What were the imploding
7 things?

8 AMBASSADOR HOLBROOKE: Bosnia.

9 [REDACTED] It wasn't Credit Suisse
10 imploding? It was--

11 AMBASSADOR HOLBROOKE: Oh, no, no. No--

12 [REDACTED] In other words, was
13 [REDACTED] working on Bosnia stuff with you as
14 well?

15 AMBASSADOR HOLBROOKE: It was understood--
16 and this is another one of the things that--one of
17 the perks of the job, and I don't think if [REDACTED]
18 mentioned it when I was out of the room. It was
19 understood, but not in the letter, that the firm
20 would hire at their expense [REDACTED]

21 [REDACTED] I found
22 [REDACTED] after a search because [REDACTED] had the

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1 intellectual academic background and yet wanted to
2 do business.

3 And that was another part of your
4 negotiation with [] that I think we've
5 neglected to mention earlier.

6 That was extremely unusual. Of all the
7 perks, that was the most--one of the most unusual.
8 [] been invaluable. [] began work- [] did not
9 come in with me on day one, unfortunately. [] came
10 in--by the time [] came in, we were headed into the
11 crisis in Bosnia that I described earlier. Or we
12 were deep in it.

13 [] So the meetings that []
14 scheduled for you prior to going on a trip, is it
15 safe to say that you knew what your schedule was
16 for these trips prior to going? I realize things
17 changed.

18 AMBASSADOR HOLBROOKE: The exact opposite,
19 [] I didn't know what I was doing half the
20 time. I'd get to the airport, and I'd open up a
21 folder from [] and there would be a schedule.
22 And I would call [] up and say, "Where did this

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1 come from?" And [] say, "Vandenhugel and I
2 worked it out." I wouldn't get upset with them
3 because I was off doing my Government stuff trying
4 to--it was high chaos, and particularly at this
5 point when--as you can see, if you check the
6 newspapers, the U.S. Government's policy in Bosnia
7 was perceived to be falling apart, and I was
8 beginning the discussions--we're talking now about
9 the period when [] arrived, right?

10 [] Yes.

11 AMBASSADOR HOLBROOKE: I was beginning the
12 discussions which led to the July emergency trip.
13 And yet at the same time, I was trying to satisfy
14 First Boston.

15 [] When was the last time you
16 spoke with Ambassador Thomas Siebert?

17 AMBASSADOR HOLBROOKE: I don't know. I
18 talked to him a lot. It was sometime in the last
19 week or two.

20 [] : And what did he tell you as far
21 as--

22 AMBASSADOR HOLBROOKE: He had lunch with

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1 me.

2 [REDACTED] Pardon me?

3 AMBASSADOR HOLBROOKE: He had lunch with
4 me in the firm recently.

5 [REDACTED]: Right.

6 AMBASSADOR HOLBROOKE: I don't remember
7 the exact date, but it was sometime in the last two
8 weeks.

9 [REDACTED] In your most recent discussion
10 with Ambassador Siebert in which the investigation
11 was discussed, what did he tell you was discussed
12 in my interview with him?

13 AMBASSADOR HOLBROOKE: I think he--he
14 didn't give me a lot of detail. He said that you
15 had come to see him and you discussed the trips to
16 Stockholm, and that he had explained the
17 circumstances which we recalled--Sweden was an area
18 that was neglected by senior officials, an area
19 that I had very strong relationships in. [REDACTED]
20 had even stronger ones, having just- [REDACTED]

21 [REDACTED]

22 [REDACTED]

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1 [REDACTED] and so we talked about this trip, and
2 he said he just described to you the circumstances.
3 He wasn't very specific.

4 This lunch had been scheduled for--again,
5 we see each other all the time. We're friends.

6 [REDACTED] Did you also have a
7 conversation after my first interview with
8 Ambassador Siebert?

9 AMBASSADOR HOLBROOKE: Well, that's the
10 lunch we're talking about.

11 [REDACTED] You're talking about after
12 your first interview of Ambassador Holbrooke or--

13 [REDACTED] No. I had two interviews with
14 Ambassador Siebert.

15 AMBASSADOR HOLBROOKE: Oh, I didn't
16 realize that. I didn't realize that. I thought
17 you'd had one. I apologize. I misunderstood you.

18 [REDACTED] So you were only aware of one
19 interview.

20 What was the purpose of your trip to
21 Sweden during May 27th through 30th of '96?

22 AMBASSADOR HOLBROOKE: Do you have the

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1 schedule on that?

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2 The primary purpose--yeah, the primary
3 purpose was the publication of [REDACTED]

4 [REDACTED] That was the primary purpose. But

5 Siebert was very insistent, and correctly so, that
6 wearing my other hat, he'd take me around to see
7 Government officials to update them on the crisis
8 in Bosnia and the policy, and please bear in mind
9 that the former Swedish Foreign Minister, Carl
10 Bildt, was the high representative in Bosnia and my
11 counterpart at Dayton for the Europeans. So there
12 was that.

13 And then [REDACTED]

14 [REDACTED] also used the occasion to
15 set up one or two business meetings, which [REDACTED] set
16 up.

17 [REDACTED] Did [REDACTED] come along on
18 any of the Government-hat meetings that you had?

19 AMBASSADOR HOLBROOKE: No.

20 [REDACTED] Was [REDACTED] scheduled to?

21 AMBASSADOR HOLBROOKE: No. [REDACTED] didn't want
22 to. I wouldn't have wanted [REDACTED] there. It's not

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1 anything that I would have asked for.

2 I want to distinguish here between a
3 meeting with a Government official that [] and
4 I might do without the embassy and a meeting with a
5 Government official that the Ambassador and I might
6 do without [] because that's an important
7 distinction. But the Government of Sweden
8 relations with First Boston were not handled--they
9 were handled by the London office, and I was not
10 involved in those.

11 [] Are you confident that you
12 did not attend any business meetings with Credit
13 Suisse people and Siebert?

14 AMBASSADOR HOLBROOKE: Well, you're asking
15 it as though you know something I don't know.

16 [] You've tes--you didn't
17 testify. You said earlier in the interview, or the
18 earlier interview--I forget what it was--the first
19 interview that you had, you were pretty emphatic
20 that you had never taken any Ambassadors with you
21 or--

22 AMBASSADOR HOLBROOKE: To a business

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1 meeting.

2 [REDACTED] To a business meeting.

3 AMBASSADOR HOLBROOKE: That's correct.

4 [REDACTED] You still--

5 [REDACTED] With certain exceptions.

6 AMBASSADOR HOLBROOKE: With the exception
7 that I discussed with [REDACTED] which--that bizarre
8 thing in Romania which took place later, where the
9 Ambassador insisted on coming. And then I brought
10 that up voluntarily. But I volunteered that. It
11 took place well outside the 12-month period. But
12 there was--I am aware of no meeting--I can't
13 reconstruct every second of something that's two
14 and a half years old, but I am aware of no meeting
15 with a business person that the Ambassador
16 attended, and I'm aware of no--and that is my firm
17 recollection. If I'm wrong on it, tell me and show
18 me. But this is not something I did or asked for.

19 Do you have contrary indications? Let's
20 clear them up.

21 [REDACTED]: We're about to get to them.

22 [REDACTED] There's a letter on CS First

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1 Boston stationery dated May 20, 1996, to [REDACTED]
2 [REDACTED] who was a State Department employee at
3 the U.S. Embassy in Stockholm, from [REDACTED]
4 [REDACTED] I'll just go ahead and read it,
5 briefly.

6 [REDACTED] Here are answers to a few of
7 the remaining questions regarding Richard
8 Holbrooke's visit to Stockholm.

9 "Number one, he would prefer to stay at
10 the Grand Hotel on Monday evening, May 27th, since
11 he will be there at the remaining two nights.
12 Please thank the Ambassador, however, for extending
13 his hospitality. Holbrooke will meet Carl Bildt at
14 the hotel and would prefer that it be a one-on-one
15 talk.

16 "Number two, the rest of the schedule
17 looks great. Would there be any objection if
18 Holbrooke brings [REDACTED]
19 [REDACTED] to the 4:30 meeting
20 with [REDACTED]

21 "Number three, the interview with
22 [REDACTED] should be an exclusive. Holbrooke

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1 could do a press event if there's interest, but
2 let's schedule [] first. I'll arrange that.
3 We're making one last effort to see Prime Minister
4 Persson through the Swedish Ambassador in D.C.
5 I'll keep you posted.

6 "Best regards."

7 AMBASSADOR HOLBROOKE: So what is the
8 question? I've never seen that letter or heard of
9 it. I'm unaware of it.

10 [] The question is: []
11 [] send this letter with
12 what's indicated to be your desires for a hotel and
13 one-on-one talk with Mr. Bildt and the interview
14 with the--

15 AMBASSADOR HOLBROOKE: Did [] send the
16 letter?

17 [] The interview--I'll finish the
18 question. Did [] send this letter with these
19 specific requests and information without
20 coordinating with you?

21 AMBASSADOR HOLBROOKE: Yes. But let me
22 just understand this. What is the issue here?

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1 [] The potential issue or the
2 reason for the question is the apparent--

3 [] Well, why don't we just--
4 let's not get into the reason for everything.
5 Let's just get the facts, and we'll move through
6 this much quicker. Why don't we just--

7 AMBASSADOR HOLBROOKE: Can I see the
8 letter?

9 [] --start with the bottom
10 line--show him the letter. See if it benefits his
11 recollection.

12 AMBASSADOR HOLBROOKE: Well, I've never
13 seen it, and I'm unaware that it existed, but I
14 would like to see it.

15 You want me to make some comments about
16 this letter?

17 []: Would you like to?

18 AMBASSADOR HOLBROOKE: I think I have to.
19 First, I state that I've never seen it before.

20 Secondly, this letter is written in the
21 first few weeks of [] of [] working
22 with me when, as I said earlier, it was chaotic and

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1 [] was not yet understanding [] ob.

2 Third, the first point is a refusal of a
3 request by Siebert to stay at the residence.
4 That's--I'm not asking him to do anything. We made
5 the arrangements ourselves, and Carl Bildt is a
6 totally official Bosnia-hat issue, totally. And
7 all I'm doing is asking Siebert not to attend
8 because Bildt and I have a very close personal
9 relationship, and it was going to be tricky. That
10 meeting is vivid in my memory because it took place
11 at 1:00 in the morning in the bar.

12 Secondly, "the rest of the schedule looks
13 great" I can't comment on because I don't know what
14 the schedule is.

15 The next sentence is completely baffling
16 to me. [] I don't believe I met with

17 []
18 [] It's not a
19 business meeting. And [] would have had
20 no reason to attend, nor would I have wanted []
21 to. So all I can suggest to you is that

22 [] on [] own initiative for unexplained

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1 reasons put this sentence in. You've got to [REDACTED]

2 [REDACTED]

3 I don't believe a meeting with [REDACTED]

4 ever took place because [REDACTED]

5 [REDACTED] and I was

6 going to leave in the middle of the trip.

7 [REDACTED] We are showing you what is
8 Ambassador Siebert's projected schedule for the
9 same trip.

10 AMBASSADOR HOLBROOKE: Well, does he think
11 the meeting with [REDACTED] took place?

12 [REDACTED]: Well, you'll note that 1630
13 hours the item is on the schedule.

14 AMBASSADOR HOLBROOKE: I see it.

15 [REDACTED] Does that refresh your
16 recollection at all--

17 AMBASSADOR HOLBROOKE: No.

18 [REDACTED] --about whether the meeting
19 occurred at that time or at some--

20 AMBASSADOR HOLBROOKE: Not at all.

21 [REDACTED] --other time?

22 AMBASSADOR HOLBROOKE: Not at all, because

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1 what I remember is that this was [REDACTED]
2 [REDACTED] and that we
3 were trying to clean out the stupid schedule that
4 had been overdone by both the embassy and
5 [REDACTED] I have no memory of meeting with
6 [REDACTED] I have no memory of talking [REDACTED] to a
7 meeting. I have no reason to want to see [REDACTED]
8 And if there was a meeting with [REDACTED] arranged, it
9 would have been at [REDACTED] request, not at mine.
10 [REDACTED] not somebody I would want to waste time with.
11 There's no business purpose. There's no foreign
12 policy purpose, and my time was incredibly valuable
13 to me that day.

14 My vague, vague memory is that we dumped
15 the meeting out, but you'll have to check with
16 other people. In any case, [REDACTED] did not
17 attend it, and I don't believe it took place, and
18 it was not a business meeting. If it took place,
19 it was not a business meeting, and you'll have to
20 ask [REDACTED] whether [REDACTED] attended it or not. I don't
21 believe [REDACTED] did, and I don't believe it took place.
22 The interview with [REDACTED] is something

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1 the Ambassador asked me to do, and I was trying to
2 respond to the Ambassador's request to be useful to
3 him and to his mission. And that falls under the
4 general hat of my advisory role as a special
5 Government employee for European Security Affairs
6 in Bosnia, in an area of the world which was
7 important but neglected. So that's that.

8 [REDACTED] Can I ask one question? That
9 Siebert schedule at 4:30 says [REDACTED] no
10 taker. Did he have any notes? Did anybody ever
11 uncover anything?

12 [REDACTED] Well, we're not going to get
13 into--

14 [REDACTED] I'm just--

15 [REDACTED] Yeah, I mean, [REDACTED]

16 is obviously somebody who is--

17 AMBASSADOR HOLBROOKE: Well, if [REDACTED] says
18 the meeting took place, then--

19 [REDACTED] Whether it took place or not is
20 kind of--

21 AMBASSADOR HOLBROOKE: [REDACTED] let me--

22 [REDACTED] Let's just get what the

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1 facts are. We're not reaching any conclusions
2 today. We're simply trying to understand what
3 occurred.

4 AMBASSADOR HOLBROOKE: Well, there's an
5 implied conclusion in the questions, which is I
6 sought a meeting with [REDACTED] through the
7 embassy and wanted to take [REDACTED] Every--
8 that is false. I didn't want to see [REDACTED]
9 I didn't know the [REDACTED]. If there was a meeting
10 being talked about, it was at [REDACTED]
11 initiative because [REDACTED] had heard I was coming. It
12 was through the embassy. I didn't want it. I
13 believe I dumped it out.

14 If it took place, I have zero recollection
15 of it. It had no business content, and I don't
16 believe [REDACTED] came, and I have no idea why
17 [REDACTED] would have been in [REDACTED]
18 letter, which I've never seen until this morning.

19 [REDACTED] Okay.

20 AMBASSADOR HOLBROOKE: Now, this is
21 important.

22 [REDACTED] I think you've been very

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1 clear in terms of your recollection of this issue
2 and the nature of what's in the letter.

3 [REDACTED] What was--explain briefly the
4 Baltic Advisory Council. What was its role and
5 your role on the Council?

6 AMBASSADOR HOLBROOKE: The Baltic Advisory
7 Council was formed by Prime Minister Goran Persson,
8 whose name, by the way, is misspelled in that
9 letter that you showed me.

10 [REDACTED] Oh, is it?

11 AMBASSADOR HOLBROOKE: Yeah. Another
12 indication of how sloppy things were at this moment
13 when [REDACTED] was joining the firm and didn't
14 know what [REDACTED] was doing, and I was completely
15 focused on things.

16 The Baltic Advisory Council was formed by
17 Prime Minister Persson to bring people from the
18 region, plus an American, to Stockholm on occasion
19 in an informal, semi-formal manner to discuss the
20 Baltic Sea area. It was well known that the Baltic
21 Sea was an area that I had emphasized as a foreign
22 policy thing for the U.S. So Persson asked

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1 President Clinton and me if I would be the
2 representative on it of the United States. The
3 President said it was a fine idea with him, and I
4 therefore accepted.

5 I have attended something like two
6 meetings. They have about four a year, but the
7 schedule was just difficult.

8 [REDACTED] Was there anything during
9 the May trip that related to the Baltic Sea
10 Advisory Council?

11 AMBASSADOR HOLBROOKE: I don't think so.
12 It was really a trip about [REDACTED]

13 [REDACTED] The purpose of your meeting
14 with Ambassador Siebert and [REDACTED]

15 [REDACTED]
16 AMBASSADOR HOLBROOKE: Ambassador Siebert
17 did not come to a meeting with the central bank--

18 [REDACTED] I'm just going by this
19 schedule, that he was scheduled to be at a meeting
20 with you. Did you meet with [REDACTED]

21 [REDACTED]
22 AMBASSADOR HOLBROOKE: I'm not sure. I

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1 think we might have.

2 [] You don't recall?

3 AMBASSADOR HOLBROOKE: Can I see that
4 piece of paper?

5 [] Sure. Ambassador Siebert's
6 projected, May 29, '96, schedule.

7 [] Actually, that's the May
8 30th schedule.

9 [] Is it? Thank you.

10 AMBASSADOR HOLBROOKE: Are you saying that
11 Ambassador Siebert came to this meeting with
12 Backstrom?

13 [] No. I'm asking you, Did you
14 meet with []

15 AMBASSADOR HOLBROOKE: I can't remember if
16 I did or not.

17 [] Do you recall if you had a
18 meeting with [] and Ambassador Siebert?

19 AMBASSADOR HOLBROOKE: I don't--I can't
20 remember [] as an individual. I'm aware of
21 [] name, but I cannot remember--you know, Siebert
22 knows everyone in Stockholm. [] a rather

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1 well-known person. I don't know.

2 [redacted] Is it--someone characterized
3 [redacted] as our equivalent being Alan Greenspan.

4 Is that a fair kind of--

5 AMBASSADOR HOLBROOKE: Well, yeah. The
6 Swedish economy--that's a misleading comparison
7 because Sweden is not the United States.

8 [redacted] Alan Greenspan might not
9 appreciate the comparison.

10 [Laughter.]

11 AMBASSADOR HOLBROOKE: But the Government
12 of Sweden was a First Boston client, handled by
13 London. I had no--no business discussions with the
14 central bank of any sort. I never have, never
15 wanted to, never was interested in it, wasn't even
16 qualified to do it. If [redacted] if a meeting, it
17 would have only been on foreign policy issues.

18 [redacted] Was [redacted] on your schedule for
19 that trip?

20 AMBASSADOR HOLBROOKE: Was [redacted] on my
21 schedule?

22 [redacted] We don't have a detailed

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1 itinerary for that day, I don't believe.

2 [REDACTED] The one you just showed Mr.
3 Holbrooke, was that the same schedule?

4 [REDACTED] It has no detail.

5 [REDACTED] It says see attached schedule.

6 [Pause.]

7 [REDACTED] We're referring to RCH 24 and
8 25, and there's no detail other than the meeting
9 with Carl Bildt at the hotel.

10 [REDACTED] What business interest did CS
11 First Boston have in Sweden? Do you know of
12 specific projects?

13 AMBASSADOR HOLBROOKE: Our firm was--the
14 firm was one of the bankers to the Government. But
15 I never had anything to do with that. My role in
16 Sweden was to work on industrial clients,
17 particularly the Wallenberg Dynasty.

18 [REDACTED] And what about Ericsson?

19 AMBASSADOR HOLBROOKE: Well, Ericsson was
20 another important business company in Sweden
21 related to the Wallenbergs by that network.

22 [REDACTED] What type of company was

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1 Ericsson, is Ericsson?

2 AMBASSADOR HOLBROOKE: It's sort of a
3 radio, electronics, telecom.

4 [REDACTED] Is it a Swedish company?

5 AMBASSADOR HOLBROOKE: Yes.

6 [REDACTED] Was CS First Boston involved in
7 a cellular development project in the Republic of
8 Georgia with Ericsson?

9 AMBASSADOR HOLBROOKE: I have no idea.

10 [REDACTED] No idea?

11 AMBASSADOR HOLBROOKE: Never heard of it.

12 [REDACTED] Did you ever ask Ambassador
13 Siebert to speak with anyone at Ericsson about any
14 business matters?

15 AMBASSADOR HOLBROOKE: No.

16 [REDACTED] Did you ever talk to Ambassador
17 Siebert about his potentially being employed with
18 CS First Boston?

19 AMBASSADOR HOLBROOKE: No. But I did talk
20 to him after he left Stockholm about what he was
21 going to do next, but for a different reason..
22 Telecom, as we all know, is the hottest part of teh

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1 business, and we have a very strong telecom group.
2 And he--I said to him, "What are you going to do
3 now that you're out?" He said, "I'm going to go
4 into telecom--back into telecom." And I said, "You
5 ought to get to know our guys, and I'd love to set
6 it up for you." And I did set up a meeting for him
7 personally. I never offered him a job at First
8 Boston.

9 [REDACTED] Who did he meet with?

10 AMBASSADOR HOLBROOKE: If my memory is
11 correct--and please don't hold me to this--I think
12 it was a [REDACTED] named [REDACTED] But I don't
13 remember who it was exactly.

14 I did say to him, you know: Have you ever
15 thought about investment banking? It's
16 interesting. You'd be a great investment banker.
17 And he said something like, That's not my--that's
18 not what I want to do. I want to do telecom, and I
19 can't live in New York. I believe this
20 conversation followed his departure from Stockholm.
21 And, in fact, that's the reason--that's one of the
22 reasons we stay in touch, is because, you know, to

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1 see whether he wants to do anything with telecom.
2 But nothing has happened so far. There's never
3 been any business involving him.

4 [REDACTED] Okay.

5 [REDACTED] I'm just going to show you
6 this. I'm going to show you RCH 0042, your
7 schedule from December '96 in reference to Sweden.

8 AMBASSADOR HOLBROOKE: Right.

9 [REDACTED] I can't see exactly from
10 here, but let's say about the third paragraph down
11 under A10, there's a sentence that says
12 "Ambassador Siebert's driver will be available all
13 day if Ambassador Holbrooke wishes," and then
14 somebody's written, "No."

15 AMBASSADOR HOLBROOKE: That's my--

16 [REDACTED] Is that your handwriting?

17 AMBASSADOR HOLBROOKE: Absolutely.

18 [REDACTED] Any recollection why--

19 AMBASSADOR HOLBROOKE: Baltic Advisory
20 Council.

21 [REDACTED] Do you have any recollection
22 why--or what the "No"--

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1 AMBASSADOR HOLBROOKE: That means I don't
2 want to use an American Government car during a day
3 in which my trip is paid for by CSFB, even though
4 the reason for this trip is the Baltic Advisory
5 Council, as you can see by where I filed it. Even
6 though you could construe it as valid, I am well
7 aware of the rules, and I wanted to be ultra
8 careful.

9 [REDACTED]: Okay. That's why I'm giving
10 you an opportunity to explain this.

11 AMBASSADOR HOLBROOKE: I'm sure you
12 understand why I put emphasis on this, because I'm
13 not unfamiliar with this issue.

14 [REDACTED] Can you recall, looking at
15 this document, recall--

16 AMBASSADOR HOLBROOKE: Well, I saw this
17 document when [REDACTED] found it in the files, and I
18 went over it and I saw the "No" on it.

19 Many times you do these things orally, but
20 every once in a while, you actually record
21 something which shows that you really had intent,
22 and this is--and you see here the Baltic Sea

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1 Advisory.

2 [REDACTED] Okay.

3 [REDACTED] I'm going to refer now to RCH

4 089. Do you have that? It's a letter from

5 Ambassador Holbrooke to Ambassador Laney, dated

6 March 21, '96.

7 AMBASSADOR HOLBROOKE: Yes, I'm familiar

8 with this letter.

9 [REDACTED] Why did you ask Ambassador
10 Laney to set up the meeting with President Kim on
11 this occasion?

12 AMBASSADOR HOLBROOKE: Because it would
13 have been inappropriate for me to make a courtesy
14 call on President Kim in which I would not discuss
15 business and cut the Ambassador out. It was an
16 opportunity to help the Ambassador, if he so
17 desired. Ambassadorial access to people like
18 President Kim Young Sam are very difficult.

19 I had known Kim for 20 years and played a
20 critical role in saving his life and keeping him
21 out of jail under the dictatorship, and now he was
22 President of the country. And I did not wish to

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1 set this meeting up through First Boston, which
2 would have implied it had a business contact. And
3 I did not intend to have any business discussion if
4 I saw him. In the actual event, as I'm sure you
5 know, this meeting did not take place.

6 [REDACTED] Why--I'm curious--that
7 rationale about who would set up a meeting? Why
8 did that not follow for your meeting with Prime
9 Minister Klaus of the Czech Republic in which you
10 do indicate to Ambassador Walker that it was
11 strictly a personal meeting in which you would be
12 delighted if she would join you, yet you had the CS
13 First Boston rep set that meeting up versus having
14 the Ambassador set it up? To follow your logic--

15 AMBASSADOR HOLBROOKE: Partly the
16 difference between Korea and Czech Republic, the
17 nature of the extreme, austere distance of the
18 Korean President as opposed to the tennis-playing
19 accessibility of Vaclav Klaus, partly the fact that
20 I'd seen Klaus recently in the States and he'd
21 asked me to come by. But this raises a generic
22 point which I'd like to make to you, [REDACTED]

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1  Sure.

2 AMBASSADOR HOLBROOKE: And that is that on
3 my first trips overseas after leaving the
4 Government and carrying the hat as a senior adviser
5 and continued participant in policy, and calling on
6 people--and there's a whole range of reasons.
7 Korea's quite different from Czech Republic, of
8 course, and I can address that if you're
9 interested. I felt strongly that it would be a
10 diminution of the American Government and our
11 national interest if I went in to these people and
12 had business meetings on my first trips out;
13 particularly with ongoing things.

14 In Asia, we had all agreed we hadn't
15 explained our European policy and no one was going
16 to get out there and do it, and I could do it and
17 Ambassador Laney should be there. In Prague, the
18 issue was Bosnia, NATO enlargement. And in all
19 cases, the First Boston people objected strongly,
20 very strongly. They didn't like this fact that I
21 was putting my Government hat ahead of my First
22 Boston hat.

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1 [REDACTED] Who specifically do you
2 recall objecting at First Boston?

3 AMBASSADOR HOLBROOKE: Everyone. There
4 were official complaints. I believe you have at
5 least one in writing in the files we turned over.
6 Is that not correct?

7 [REDACTED] That's correct.

8 AMBASSADOR HOLBROOKE: You have one in
9 writing from a very powerful person in the firm,
10 and that was triggered by a series of complaints
11 because of the fact that they were expected me to
12 go in and see Prime Ministers with them and press
13 business, and I was saying I'm not going to do
14 that, it's wrong, I still have a Government hat as
15 a senior adviser to the Secretary of State and the
16 Assistant Secretary, and I don't want to come in
17 there and start--I'll use this great New York word--
18 --"schnoring" for business.

19 [REDACTED] Although you did do that in
20 Slovakia with Ambassador Johnson? I believe he
21 went to the meeting with the--

22 AMBASSADOR HOLBROOKE: Yes, because John--

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1 [REDACTED] --Prime Minister in which two
2 Credit Suisse First Boston reps also went in the
3 meeting.

4 AMBASSADOR HOLBROOKE: We set that meeting
5 up and invited Johnson because Johnson--I gave
6 Johnson the option. Johnson has no access to
7 Meciar. Meciar [REDACTED] Central Europe. I
8 was the only American who had any--official who had
9 any relationship with him. The issue, as I said
10 several times earlier and in my earlier interview,
11 was the Hungarian-Slovak state treaty, which was
12 important in and of itself to prevent an explosion
13 between these two neighbors and also related to
14 NATO enlargement.

15 And when- [REDACTED] set up the meeting,
16 and I--can I be blunt in the room? I screwed him
17 because I said I'm not going to do business in this
18 meeting. I'm going to invite the Ambassador, which
19 they really didn't like.

20 But I didn't tell the Ambassador to come.
21 I said [REDACTED] I got this meeting with [REDACTED] I'd
22 already talked to Kornblum about it, or people in

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1 [] office. I don't believe it was [] I said,
2 [], I'm going to see [] We set it up. If you
3 want to come, that's fine.

4 [] wrote me back a letter saying, I do
5 want to come; just as Laney said, I'd like to come;
6 just as Ambassador Walker in Prague said, I'd like
7 to come if it happens. They all wanted to come. I
8 didn't need them for the access, [] I didn't
9 need any--

10 [] Ambassador Walker, by the way,
11 stated she did not want to go. It was--she could
12 not explain why [] sent that. She
13 thinks it was a mis--but stated that she would have
14 thought it would have been inappropriate.

15 [] A lot of bad []

16 AMBASSADOR HOLBROOKE: Well--

17 [Laughter.]

18 AMBASSADOR HOLBROOKE: That's not my
19 problem.

20 [] I know. I'm just clarifying.

21 AMBASSADOR HOLBROOKE: It never took
22 place, and I'm pretty surprised by that statement.

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1 But I'll defer on that.

2 [] But, at any rate, the meeting
3 with Meciar, Ambassador Johnson was present. And
4 did the Credit Suisse reps go in as well to the
5 meeting?

6 AMBASSADOR HOLBROOKE: I remember one
7 coming in. You said two. I didn't remember the
8 second one, but that's quite possible.

9 [] What was discussed?

10 AMBASSADOR HOLBROOKE: We discussed the
11 Hungarian-Slovak treaty. I had seen the Hungarian
12 Prime Minister the day before in the meeting you
13 and I discussed last time where we actually
14 excluded [], to [] intense anger. And so
15 the first thing I did was carry a very important
16 message between the two Prime Ministers concerning
17 the ratification of the state treaty. The second
18 thing was the talk about human rights, press
19 freedom, and democracy. Huge issues. And American
20 officials never got to Bratislava. It was a real
21 backwater.

22 The third thing was to talk about NATO

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1 enlargement. He wanted to get his country into
2 NATO. I told him it would be real tough unless he
3 did X, Y, and Z. As it turned out, he didn't do X,
4 Y, and Z, and that's why Slovakia didn't join when
5 Hungary, Poland, and the Czech Republic did.

6 The fourth thing was for him to describe
7 his economic liberalization program, which he
8 claimed was great and should be fabulous and should
9 please the Western democracies. I had my doubts
10 about that. [REDACTED]

11 That's my vague, vague memory. I can't
12 give you any of the details. I don't remember the
13 details of the message. I don't remember the
14 outcome. It's the only time I ever went to
15 Bratislava since I left the Government.

16 [REDACTED] Do you recall the purpose for
17 the Credit Suisse rep being present?

18 AMBASSADOR HOLBROOKE: They set it up.
19 The Ambassador--I was the one with access, not
20 Ambassador Johnson.

21 [REDACTED] Right. But certainly Credit
22 Suisse didn't set it up to--they set it up to

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1 discuss what?

2 AMBASSADOR HOLBROOKE: They set it up as a
3 courtesy call. I told [] and company I would
4 not conduct business on my first go-around in
5 Central Europe because I was so prominent. Forgive
6 me for saying that, but it's true. They didn't
7 like that, but they accepted it.

8 Then I added insult to injury--or injury
9 to insult, excuse me. I added injury to insult by
10 saying I feel we should give the resident
11 Ambassadors the option, in Bratislava, above all,
12 because of the extraordinary problems this []
13 [] was giving us, who I actively disliked but had
14 the most engaged relationship over any American
15 official. Everyone will confirm that, I'm sure. I
16 assume. I don't know what anyone will confirm
17 anymore based on some of the things you said this
18 morning. But that is the fact..

19 [] And that was the first time
20 that the Credit Suisse First Boston met the Prime
21 Minister?

22 AMBASSADOR HOLBROOKE: I don't know. I

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1 have no idea.

2 But I do know that Ralph Johnson barely
3 knew Meciar because he made clear in the letter he
4 sent back to me, I've met him briefly, I would
5 have--I don't remember the exact words. Is it in
6 this book?

7 Yes.

8 AMBASSADOR HOLBROOKE: The Ambassadors
9 were all pleased that I was giving them the
10 opportunity to improve their access. That's what
11 Ambassadors live for. They don't just call up on
12 the phone and say, Mr. Prime Minister, Mr.
13 President, I'd like to come chat with you today.
14 They either call up and say, I have an instruction
15 to deliver to you, in which case 90 percent of the
16 time they're told to deliver it to someone lower,
17 unless it's a personal message from President
18 Clinton, or--I'm talking about Presidents and
19 chiefs of state now--or else they go in with
20 visiting firemen. That's the way they do it.

21 Again, I don't want to sound--I don't want
22 you to misunderstand this, but I was a big, big

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1 fire chief at that point. And these guys, like
2 Meciar, [REDACTED] who was tying Central
3 Europe into knots, who I had the engaged
4 relationship with, and this new Ambassador, this
5 nice, quiet, competent but very unassuming
6 Ambassador, Ralph Johnson, was delighted. We had a
7 good--I had my first meeting, I hope it will be
8 interesting, with sustained, informal dialogue, I'd
9 like to sit in, the relationship you established
10 can be extremely important to our efforts to get
11 the Slovaks to make the right choices.

12 It turned out we won one, the treaty, the
13 state treaty, but we lost all the others on that
14 agenda. Dan Freed and I agreed last night--that's
15 the present Ambassador to Poland and at that time
16 the NSC. So you can see that he must have
17 coordinated this very closely with the White House.
18 And he cc'd our guy in Budapest.

19 I was wearing the Government hat. I was
20 helping the Government. I had no problem seeing
21 Meciar alone, and I didn't benefit by taking the
22 Ambassador. I hurt the firm.

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1 This goes back to a paragraph you read me
2 last time. Remember the paragraph you read me from
3 the anonymous letter? That the appearance of the
4 Ambassador would help us with business? I say
5 again to you the opposite is true in some cases and
6 it has no effect in others, but it doesn't help.
7 And with Meciar, it really hurts because he doesn't
8 like the U.S. Government. [REDACTED]

9 [REDACTED] I cringe
10 thinking about it.

11 [REDACTED] Let me just follow up on one
12 thing that I think may have gotten lost in some of
13 the questioning. You said that there was the
14 written complaint, which I assume you're talking
15 about the [REDACTED] memo--is that--

16 AMBASSADOR HOLBROOKE: [REDACTED] (?)
17 referring to [REDACTED]

18 [REDACTED] Okay. And basically the
19 complaint being that you're sort of putting your
20 Government hat ahead of CSFB, and you indicated
21 that that was something that came up from--you
22 heard that from other sources within CSFB. Can you

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1 remember any specific people perhaps farther up the
2 chain?

3 AMBASSADOR HOLBROOKE: My direct boss, the
4 number two [REDACTED], was well aware of what
5 had happened.

6 [REDACTED] Did [REDACTED] express concern to you
7 that you weren't fulfilling your duties to Credit
8 Suisse?

9 AMBASSADOR HOLBROOKE: I can't remember
10 the exact words. [REDACTED] has an indirect style.
11 But [REDACTED] made clear that [REDACTED] was totally aware of this
12 memo, even though it isn't shown as cc'ing [REDACTED]
13 that [REDACTED] knew it had happened and [REDACTED] said, You
14 really caused a ruckus in Central Europe for
15 something like that. And I understood what that
16 meant. They were pissed.

17 [REDACTED] Did you do anything
18 differently as a result of finding out that they
19 were pissed?

20 AMBASSADOR HOLBROOKE: No. I keep telling
21 you that my loyalty here is to the United States
22 Government and to the State Department and to the

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1 Ambassadors who serve overseas. If I can help
2 them, I'm honored to, and I have an official
3 capacity. I am the goddamn senior adviser to the
4 Secretary of State and the Assistant Secretary for
5 this issue. And even in faraway Korea, where the
6 issue has--we've all agreed--explained that is
7 clearly relevant at that level, as well as with a
8 [] like [] I am certain that []
9 [] whom I'd never heard of and had no desire to
10 see, sought me out because [] wanted to talk about
11 EU affairs. Look at [] title. []
12 [] which is of no interest to an
13 investment bank, in EU Affairs, which is of no
14 interest to an investment bank.

15 Did I make clear that Kim Young Sam, the
16 President of Korea, and I had a 20-year
17 relationship and that I had saved him from death--
18 not death but serious jail?

19 [] From being Aquino'd, is that
20 the--

21 AMBASSADOR HOLBROOKE: What?

22 [] From being Aquino'd when he

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1 stepped off the plane?

2 AMBASSADOR HOLBROOKE: No, no. That was
3 Kim Dae Jung.

4 [REDACTED] I'm sorry.

5 AMBASSADOR HOLBROOKE: No, you're quite
6 right, there are two Kims. The current President
7 is Kim Dae Jung. His life I literally saved. He
8 was in a jail, water up to his ankles, they were
9 going to execute him. That's been well reported.
10 That's in many books.

11 [REDACTED]

12 [REDACTED]

13 [REDACTED]

14 [REDACTED]

15 [REDACTED]

16 [REDACTED]

17 [REDACTED]

18 It's the famous two [REDACTED]

19 [REDACTED] and Kim Dae Jung, called DJ. DJ is the
20 current President. [REDACTED] has been asking me about

21 [REDACTED]

22 [REDACTED] It's the current President whose life I

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1 saved, and he invited me to the inaugural as his
2 guest the beginning of this year, which I was
3 unable to go to. But you and I discussed this the
4 last time I saw you, and that was a reference to
5 the current [] and today you're talking to me
6 about the prior []

7 Are we cleared up on the []
8 [] I don't want to worry you
9 but I'm taking over the questions concerning the
10 book. I understand that you were going to bring
11 down the contract.

12 AMBASSADOR HOLBROOKE: Yes. May I just
13 interrupt and just ask, again, guidance on my
14 airplane situation? Because I haven't spoken to
15 [] since 10:00, and [] going to be standing by.
16 Do you think 3:30 is in the ballpark?

17 [] We'll get out of here by 3:00.

18 AMBASSADOR HOLBROOKE: Can I smile for the
19 first time today?

20 [Recess.]

21 AMBASSADOR HOLBROOKE: I just want to add
22 one point that I was going to mention earlier,

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1 which is that I never got an exit interview from
2 this Government on the law, the Government ethics
3 law. They never came to me and said this is what
4 the law says in general and this is particularly
5 relevant to you. And I feel--this is a personal
6 editorial comment. I feel in a sense that I gave
7 more than--much more than 50 percent of the last
8 two and a half years to the Government for free,
9 hurt myself with my firm, and now I'm on this
10 process because of anonymous charges that--and that
11 the State Department really didn't give me the kind
12 of warnings and alerts and briefings that they're
13 supposed to do. And I just wanted to say that.
14 You're supposed to have an exit interview. It
15 didn't take place.

16 [REDACTED] Excuse me?

17 AMBASSADOR HOLBROOKE: You're supposed to
18 have an exit interview on this stuff. It didn't
19 take place.

20 [REDACTED] I think in this case it
21 would have been particularly important because of
22 the two hats.

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1 [REDACTED] Do you know why an exit
2 interview did not take place?

3 AMBASSADOR HOLBROOKE: No. Because this
4 is the State Department. Can you explain the
5 sloppiness of some of the documents you've seen in
6 here? For example, the February 21st document says
7 I'm going to be working full-time. You just go on.
8 You're doing something in the national interest, at
9 the Cabinet level and the President, and you do it,
10 and then you don't expect to be accused of things.

11 But, anyway, you learn as you go along.

12 Sorry, [REDACTED]

13 [REDACTED] There is a document that I'll
14 show you which is dated December 21, 1995, which is
15 approximately 60 days prior to your leaving the
16 State Department as Assistant Secretary for
17 European and Canadian Affairs, which is a
18 certification, what is apparently your signature on
19 it, confirming that you viewed the 1995 ethics
20 training video in order to satisfy your obligation
21 of financial disclosure and comply with annual
22 ethics training regulations.

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1 AMBASSADOR HOLBROOKE: First of all, that
2 is not my signature.

3 Secondly, even if I saw this video--and I
4 state here that I did not--it doesn't apply to my
5 point.

6 Third, on the date in question, we were
7 fighting for our lives in Bosnia. And I've never
8 seen that document before.

9 Do you know who signed it?

10 AMBASSADOR HOLBROOKE: No, I don't.

11 That's why I said apparently
12 your signature. I have no way of interpreting--

13 AMBASSADOR HOLBROOKE: Did you experts on
14 my signature see that? That is not my signature.
15 It's also not in this case.

16 I never saw this video. It doesn't apply
17 to my point, and that isn't my signature.

18 It's a different kind of
19 forgery than the other.

20 AMBASSADOR HOLBROOKE: It's clearly
21 somebody else that--welcome to the State
22 Department. December 21, 1995.

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1 [REDACTED] Were you not aware when you
2 left the Government about the restrictions on your
3 contact with your former agency?

4 AMBASSADOR HOLBROOKE: I was aware, and I
5 have faithfully kept my two hats separate. I had
6 two--you say when I left the Government. I would
7 say when I resigned as Assistant Secretary of State
8 and became a special Government employee, and
9 simultaneously a Vice Chairman of First Boston. ~~Of~~
10 course, I was aware. The whole point of our
11 discussion is to establish that I was going as--i
12 was working in every way I could to keep that
13 distinction clear. I was telling every Ambassador,
14 everybody I worked with on the Government side,
15 that I wanted to keep the two separate. If any
16 gray areas exist, they were wholly inadvertent and
17 a result of the incredible pressure of the
18 unexpected demands the Government was putting on me
19 and my involvement. By Government, I include
20 Ambassadors overseas.

21 So I was aware, but I wasn't briefed on
22 the law.

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1 [REDACTED] I'm trying to understand.

2 You raised the issue that you didn't get an exit
3 interview, and you're saying as a result of that
4 there was confusion in your mind as to what the
5 rules were?

6 AMBASSADOR HOLBROOKE: No. I was just
7 stating a fact, [REDACTED] for your files. You need
8 all the data. It seems to me that's a relevant
9 fact.

10 [REDACTED] It is a relevant fact.

11 AMBASSADOR HOLBROOKE: I'm just stating
12 it. I'm not presenting it as an exonerating fact
13 or an indicting fact. I'm merely stating it. When
14 this is all over, I will give you my editorial
15 views, but right now I'm simply stating what I
16 think is an important fact to add.

17 [REDACTED] I'm sorry to divert you, and I
18 don't want to cut into the time since--the other

19 [REDACTED]

20 [REDACTED] I've just briefly had a
21 chance to check over the contracts here. It states
22 that the contract--

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1 AMBASSADOR HOLBROOKE: This is the book
2 contract?

3 [REDACTED] Book contract, right. It
4 states here that the contract was executed on the
5 25th day of June 1996. Is that accurate? It says
6 on the top--there's no date by the signature.
7 That's why--

8 AMBASSADOR HOLBROOKE: Yes. I guess so.

9 [REDACTED] Okay. When did you first
10 speak with your publisher, Random House, about
11 doing a book?

12 AMBASSADOR HOLBROOKE: The conversations
13 were conducted by my agent, not by me.

14 [REDACTED]: Okay. When did your agent
15 first go to the publisher?

16 AMBASSADOR HOLBROOKE: I have no idea when
17 [REDACTED] started.

18 [REDACTED] Was it prior to February
19 21, '96?

20 AMBASSADOR HOLBROOKE: I don't think so.

21 [REDACTED] All right. Do you happen
22 to know the names of any of the people that your

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1 agent spoke with?

2 AMBASSADOR HOLBROOKE: No.

3 [REDACTED] What's your agent's name?

4 AMBASSADOR HOLBROOKE: [REDACTED]

5 [REDACTED]

6 Now, that's not entirely true, what I just

7 said. I know he talked with [REDACTED], who [REDACTED]

8 [REDACTED] Random House. I know he

9 talked to [REDACTED]

10 Time's Books at Random House. [REDACTED]

11 Other than that, I have no idea who else

12 [REDACTED] talked to. You'd have to ask [REDACTED] But those

13 two people I know because they became my editors.

14 They have both subsequently left the firm. The

15 firm itself has left itself.

16 [REDACTED] Do you know whether [REDACTED]

17 [REDACTED] spoke with any other publishers on your

18 behalf other than Random?

19 AMBASSADOR HOLBROOKE: I assume [REDACTED] did,

20 but I don't know. I have no idea.

21 [REDACTED]: Actually, this is about as

22 far as--this is as far as we can go in the

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1 unclassified realm, so at this point I'll ask that
2 people who aren't cleared leave the room.

3 [Pause.]

4 [redacted] That concludes--do you have
5 follow-up, wrap-up questions?

6 [redacted] Well, there was some
7 reference earlier to some things that you had
8 noticed in your review of the transcript of your
9 previous interview that you thought were not
10 completely accurate. I think I sort of flagged one
11 of them for you earlier, which was you had made
12 some statements about I have never brought an
13 Ambassador to any meeting at which business was
14 discussed, or words to that effect were in the
15 previous interview.

16 [redacted] But that I think was corrected
17 within that first transcript.

18 [redacted] Right--

19 AMBASSADOR HOLBROOKE: Can I tell you what
20 was in my head when I said that so you don't think
21 there's a complication here?

22 It was only after I left the interview

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1 with [] and [] and reviewed the schedule with
2 [] that I realized that I had completely
3 misremembered the dates of certain events. Just
4 completely. That was what I was referring to, and
5 you've straightened all that out today. There's no
6 longer any question. You've got the schedule.
7 I've got the schedule. We prepared for this. And
8 while my memory is not perfect, I think it's
9 somewhat better than it was last time.

10 It's fair to say, isn't it, [] that we
11 really had no idea why you were coming up to New
12 York?

13 [] The first interview.

14 AMBASSADOR HOLBROOKE: And we came with no
15 papers, and that was it.

16 [] Obviously the context is
17 different today and the background's different.
18 Was there anything else? Any other specific things
19 that you had in mind when you made that reference
20 to the interview?

21 AMBASSADOR HOLBROOKE: No. That was what
22 I meant. It was one of these revelations about

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1 memory's tricks. And that came up again just now
2 when [] mentioned the reason for the February
3 '97 trip. I couldn't for the life of me have dated
4 the trip, but I have the most vivid memory []

5 [] But I didn't realize it
6 was that trip. And that's what schedules are for.

7 [] There was one thing that I
8 think you had promised to provide us. Did we get
9 the Ferini--

10 .. AMBASSADOR HOLBROOKE: The []
11 [] The [] letter back? And
12 the contract. Anything else?

13 [] : No, I think those are the
14 only things I particularly noted.

15 [] All right. Anything you want
16 to add at this point on the record?

17 [] Not on the record. I'd like
18 to just ask you about some going-forward questions.

19 [] : Thank you very much. The
20 interview is over at 0204 hours.

21 [Whereupon, at 2:04 p.m., the unclassified
22 portion of the interview was concluded.]

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